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Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council

Thematic cluster II: sanctions monitoring teams, groups and panels

Report of the Secretary-General

Summary

The present report contains the proposed resource requirements for 2013 for 11 special political missions created by decisions of the Security Council and grouped under the thematic cluster of sanctions monitoring teams, groups and panels.

The estimated requirements for 2013 for special political missions grouped under this cluster amount to $31,355,009 (net of staff assessment). After taking into account the estimated balance of $2,076,100 expected to remain unencumbered at the end of 2012, the additional amount being sought for the 11 missions amounts to $29,278,900.

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I. Financial overview

1. The estimated requirements for 2013 for special political missions grouped under this cluster amount to $31,355,000 (net of staff assessment). Table 1 allows for a comparison between total requirements for 2013 and requirements for 2012 as approved by the General Assembly in resolution 66/247 after considering the reports of the Secretary-General (A/66/354/Add.2 and Corr.1) and of the Advisory Committee on Administrative and Budgetary Questions (A/66/7/Add.12).

Table 1
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Monitoring Group on Somalia and Eritrea	2 234.5	2 239.6	(5.1)	2 479.2	2 484.3	–	244.7
Panel of Experts on Liberia	641.7	592.9	48.8	632.2	583.4	–	(9.5)
Group of Experts on Côte d'Ivoire	1 319.4	1 291.2	28.2	1 293.4	1 265.2	–	(26.0)
Group of Experts on the Democratic Republic of the Congo	1 546.3	1 361.5	184.8	1 533.4	1 348.6	–	(12.9)
Panel of Experts on the Sudan	1 846.3	1 562.1	284.2	1 609.0	1 324.8	–	(237.3)
Panel of Experts on the Democratic People's Republic of Korea	2 746.8	2 749.1	(2.3)	2 754.8	2 757.1	–	8.0
Panel of Experts on the Islamic Republic of Iran	3 193.6	3 152.4	41.2	3 099.8	3 058.6	–	(93.8)
Panel of Experts on Libya	2 597.0	1 493.1	1 103.9	1 456.8	352.9	–	(1 140.2)
Analytical Support and Sanctions Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities	4 263.8	4 399.3	(135.5)	4 388.1	4 523.6	–	124.3
Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction	3 045.7	2 670.5	375.2	3 190.8	2 815.6	–	145.1
Counter-Terrorism Committee Executive Directorate	8 892.5	8 739.8	152.7	8 917.5	8 764.8	–	25.0
Total	**32 327.6**	**30 251.5**	**2 076.1**	**31 355.0**	**29 278.9**	**–**	**(972.6)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

II. Special political missions

A. Monitoring Group on Somalia and Eritrea

($2,479,200)

Background, mandate and objective

2. The Monitoring Group on Somalia and Eritrea is a successor to the Monitoring Group on Somalia, whose mandate was expanded to encompass Eritrea with the adoption of Security Council resolution 1907 (2009). It was re-established for a period of 13 months on 25 July 2012 by Security Council resolution 2060 (2012), in paragraph 14 of which the Council requested the Secretary-General to take the necessary measures to re-establish the Monitoring Group, consisting of eight experts, drawing on the expertise of the members of the Monitoring Group established pursuant to resolution 2002 (2011).

3. The Monitoring Group monitors the sanctions regimes on Somalia (territorial arms embargo, ban on the export and import of charcoal, travel ban, assets freeze and targeted arms embargo) and Eritrea (two-way territorial arms embargo, travel ban, assets freeze and targeted arms embargo). The Group reports to the Council through its Committee established pursuant to resolutions 751 (1992) and 1907 (2009) concerning Somalia and Eritrea. The Monitoring Group is mandated to undertake the following tasks:

(a) To assist the Committee in monitoring the implementation of the measures imposed in paragraphs 1, 3 and 7 of resolution 1844 (2008), including by reporting any information on violations, and to include in its reports to the Committee any information relevant to the potential designation of the individuals and entities described in paragraph 1 of resolution 2002 (2011);

(b) To assist the Committee in compiling narrative summaries, referred to in paragraph 14 of resolution 1844 (2008), of individuals and entities designated pursuant to paragraph 1 of resolution 2060 (2012);

(c) To investigate any seaport operations in Somalia that may generate revenue for Al-Shabaab, an entity designated by the Committee for meeting the listing criteria in resolution 1844 (2008);

(d) To continue the tasks outlined in paragraph 3 (a) to (c) of resolution 1587 (2005), paragraph 23 (a) to (c) of resolution 1844 (2008) and paragraph 19 (a) to (d) of resolution 1907 (2009), namely:

(i) To continue investigating the implementation of the arms embargo by Member States and violations, inter alia, through field-based investigations in Somalia, where possible, and, as appropriate, in other States, in particular those in the region;

(ii) To assess actions taken by Somali authorities, as well as Member States, in particular those in the region, to fully implement the arms embargo;

(iii) To make specific recommendations based on detailed information in relevant areas of expertise related to violations and measures to give effect to and strengthen the implementation of the arms embargo in its various aspects;

(iv) To assist the Committee in monitoring the implementation of resolution 1844 (2008) by providing any information on violations of the measures imposed in paragraphs 1, 3 and 7 thereof, in addition to the general and complete arms embargo reaffirmed in paragraph 6 of the resolution;

(v) To include in its reports to the Committee any information relevant to the Committee's designation of the individuals and entities described in paragraph 8 of resolution 1844 (2008);

(vi) To assist the Committee in compiling narrative summaries referred to in paragraph 14 of resolution 1844 (2008);

(vii) To assist the Committee in monitoring the implementation of the sanctions measures imposed on Eritrea;

(e) To investigate, in coordination with relevant international agencies, all activities, including in the financial, maritime and other sectors, which generate revenues used to commit violations of the arms embargoes against Somalia and Eritrea;

(f) To investigate any means of transport, routes, seaports, airports and other facilities used in connection with violations of the Somalia and Eritrea arms embargoes;

(g) To continue refining and updating information on the draft list of those individuals and entities that engage in acts described in paragraph 1 of resolution 2002 (2011), inside and outside Somalia, and their active supporters, for possible future measures by the Council, and to present such information to the Committee as and when the Committee deems it appropriate;

(h) To compile a draft list of those individuals and entities that engage in acts described in paragraph 15 (a) to (e) of resolution 1907 (2009) inside and outside Eritrea, and their active supporters, for possible future measures by the Council, and to present such information to the Committee as and when the Committee deems it appropriate;

(i) To continue making recommendations, based on its investigations, on the previous reports of the Panel of Experts appointed pursuant to resolutions 1425 (2002) and 1474 (2003) and on the previous reports of the Monitoring Group appointed pursuant to resolutions 1519 (2003), 1558 (2004), 1587 (2005), 1630 (2005), 1676 (2006), 1724 (2006), 1766 (2007), 1811 (2008), 1853 (2008), 1916 (2010) and 2002 (2011);

(j) To work closely with the Committee on specific recommendations for additional measures to improve overall compliance with the Somalia and Eritrea arms embargoes, as well as the measures imposed in paragraphs 1, 3 and 7 of resolution 1844 (2008), and paragraphs 5, 6, 8, 10, 12 and 13 of resolution 1907 (2009) concerning Eritrea;

(k) To assist in identifying areas where the capacities of States in the region can be strengthened to facilitate the implementation of the Somalia and Eritrea arms embargoes, as well as the measures imposed in paragraphs 1, 3 and 7 of resolution 1844 (2008), and paragraphs 5, 6, 8, 10, 12 and 13 of resolution 1907 (2009) concerning Eritrea;

(l) To provide to the Council, through the Committee, a midterm briefing within six months of its establishment and to submit progress reports to the Committee on a monthly basis;

(m) To submit, for the Security Council's consideration, through the Committee, two final reports, one focusing on Somalia, the other on Eritrea, covering all the tasks set out above, no later than 30 days prior to the termination of the mandate of the Monitoring Group.

4. In 2011 and 2012, the activities of the Monitoring Group included: (a) travel to areas of concern in the Horn of Africa and beyond; (b) meetings with senior Government officials in the region and representatives of the African Union Mission in Somalia (AMISOM), the Intergovernmental Authority on Development (IGAD) and diplomatic missions; (c) maintaining contact with knowledgeable key individuals from the Somali and Eritrean civil society and business community; (d) maintaining contact with various other expert groups tasked by the Security Council with monitoring targeted sanctions regimes; (e) meetings with the Special Representative of the Secretary-General for Somalia and staff of the United Nations Political Office for Somalia (UNPOS) as well as United Nations Support Office for AMISOM (UNSOA); (f) meetings with members the United Nations country team for Somalia, with non-governmental organizations providing humanitarian assistance and with representatives of various shipping companies; and (g) informing the Security Council Committee established pursuant to resolution 751 (1992) and 1907 (2009) of its activities on a monthly basis and by means of a midterm briefing and two final reports (S/2012/544 on Somalia and S/2012/545 on Eritrea).

Cooperation with other entities

5. The Monitoring Group on Somalia and Eritrea cooperates with similar groups established by the Security Council and seeks the assistance of United Nations agencies and regional and subregional organizations, such as the African Union/AMISOM, the League of Arab States, IGAD, the European Union, the North Atlantic Treaty Organization (NATO), the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), the International Criminal Police Organization (INTERPOL) and the World Customs Organization. It also works closely with the Special Representative of the Secretary-General for Somalia and UNPOS on matters related to its mandate. Furthermore, the Group interacts with a wide range of Government officials as well as representatives of the private sector and non-governmental organizations on issues related to its mandate.

6. The Monitoring Group will continue to be based in Nairobi. The United Nations Office at Nairobi will provide office space as well as security officers, on a cost-reimbursement basis, to escort the Group following security assessments on the sensitive nature of the Group's findings. Safety and security advice for the Group continues to be sought from the Department of Safety and Security. UNSOA will provide administrative and logistical support to the Monitoring Group in Nairobi, in particular the recruitment of local staff, providing access to information technology and communications equipment and networks, and maintaining vehicles and making travel arrangements within the region, as well as other administrative arrangements on a cost-reimbursable basis. While the United Nations Office at Nairobi has provided administrative and logistical support in the past, the operational nature of

UNSOA in Kenya and Somalia makes it more appropriate to provide the necessary support to the Monitoring Group.

7. The Security Council Affairs Division of the Department of Political Affairs provides the sanctions monitoring teams, groups and panels with substantive advice and guidance including procedural and institutional memory support relating to sanctions panels. It also provides logistical and administrative support, including air travel arrangements, obtaining visas and security clearances for the groups and panels and assisting in other administrative arrangements. The Executive Office of the Department continues to provide administrative support for the sanctions monitoring teams, groups and panels, such as the issuance of contracts, processing of payments and approving travel arrangements.

Performance information

8. In 2011 and 2012, the Monitoring Group on Somalia and Eritrea provided the Security Council Committee with a list of individuals and entities violating provisions of the sanctions measures contained in Security Council resolution 1844 (2008) and 1907 (2009). Statements of case containing biographical data as well as detailed explanations backed up by specific evidence as to why an individual or entity meets the criteria for listing were also provided. The Monitoring Group continued to submit monthly progress reports to the Committee. In February 2012, it presented its midterm briefing to the Committee, and in July 2012 it presented its final reports on Somalia (S/2012/544) and Eritrea (S/2012/545), including detailed evidence to back up its findings. The report contained 20 recommendations for the Committee's consideration.

9. In implementing its latest mandate, the Monitoring Group visited 28 countries (many of them more than once), sent 141 official letters and had the opportunity to question numerous official and confidential sources, including current and former Eritrean Government and party officials, Somali political, commercial and civic leaders, and over 100 members or former members of various armed opposition groups across the region.

10. The addition of Eritrea to the scope of its mandate posed a particular challenge to the Monitoring Group with respect to information-gathering, and it was compelled to rely primarily on diaspora sources in order to obtain necessary information. In particular, the Group contacted many former Eritrean military, intelligence and diplomatic officials with prior knowledge of the People's Front for Democracy and Justice, as well as the military establishment.

11. A joint letter issued on 1 May 2012 by the African Union, the United Nations and IGAD requested that further sanctions against spoilers be referred to the United Nations Monitoring Group on Somalia and Eritrea in order to open an investigation under the terms of Security Council resolution 1844 (2008).

12. In its report on the proposed programme budget for the biennium 2012-2013 (A/66/7/Add.12), the Advisory Committee on Administrative and Budgetary Questions saw merit in standardizing the software used by the sanctions monitoring teams, groups and panels. From 2011, the Department of Political Affairs sought to provide subscription information packages to enable experts to monitor developments and collect information on a global scale, supplementing traditional information sources, and to acquire specialized software to facilitate the analysis of

large amounts of complex data. In 2011 and 2012, access to subscriptions has been integral to obtaining information that is otherwise not available through free-of-charge media outlets. In particular, the experts have used such reports, analyses and news articles to corroborate information or investigation leads they have obtained through travel and field work in pursuit of information on violations of the relevant embargoes, travel bans and asset freezes, or on other issues addressed in the course of investigations carried out in the pursuit of their mandate. By 2012, all the sanctions monitoring teams, groups and panels had acquired the specialized software. It is expected that the software will provide the same benefits as those achieved by the Analytical Support and Sanctions Monitoring Team on Al-Qaida and the Taliban, which has been using the programme since 2009.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Committee sent letters to Member States, United Nations departments and international organizations in connection with the findings contained in the report of the Monitoring Group (S/2011/433). Furthermore, the Committee Chairman briefed the Security Council on the findings contained in the report and met in person with the permanent representatives of several countries mentioned in the report
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• On 5 December 2011, the Security Council adopted resolution 2023 (2011), by which it strengthened the Eritrea sanctions regime as a result of the findings contained in the Group's report. Furthermore, on 22 February 2012, the Council adopted resolution 2036 (2012), by which it imposed a ban on the export and import of Somali charcoal, which was recommended by the Monitoring Group in paragraph 449 (e) of its report

Planning assumptions for 2013

13. In 2013, the projected requirements for which are outlined in the present report, the Monitoring Group on Somalia and Eritrea will continue to monitor the implementation of the territorial arms embargoes on Somalia and Eritrea as well as the ban on the export and import of charcoal from Somalia. The Group will also monitor compliance with the targeted sanctions imposed by resolutions 1844 (2008) and 1907 (2009). It will conduct extensive field work and inform the Security Council Committee of its activities on a monthly basis. It will provide oral updates, a midterm briefing and two final reports setting out a detailed account of its investigations and making recommendations for consideration by the Council on how to make the sanctions regimes on Somalia and Eritrea more efficient and effective.

14. The objective, expected accomplishments and indicators of achievement of the Monitoring Group are set out below.

Objective: To prevent all delivery of weapons and military equipment to Somalia and Eritrea

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Security Council Committee to States and organizations on alleged violations cited by the Monitoring Group *Performance measures* 2011: 8 Estimate 2012: 12 Target 2013: 14 (ii) Number of bilateral meetings between the Chair of the Committee and concerned States and organizations to follow up on the Monitoring Group's report *Performance measures* 2011: 4 Estimate 2012: 4 Target 2013: 8

Outputs

- Reports to the Security Council, through the Committee (2)
- Briefings of the Committee (3)
- Monthly reports to the Committee (9)
- Investigations relating to the implementation and violations of the Security Council's sanctions (12)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of recommendations made by the Monitoring Group agreed upon by the Committee *Performance measures* 2011: 34 Estimate 2012: 35 Target 2013: 35

	(ii) Number of amendments to entries on the sanctions lists
	Performance measures
	2011: 25
	Estimate 2012: 25
	Target 2013: 25

Outputs

- Updated draft list of violators of the arms embargo provided to the Committee for consideration (1)
- Written recommendations on additional measures to improve overall compliance with the arms embargo and the individual targeted sanctions provided to the Committee (10)

External factors

15. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Monitoring Group and provided that the investigations of the Group are unhindered.

Table 2
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
	Appropriation	*Estimated expenditure*	*Variance under- (over-) expenditure*	*Total*	*Net*[a]	*Non- recurrent*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)=(4)-(3)*	*(6)*	*(7)=(4)-(1)*
Civilian personnel costs	268.5	310.7	(42.2)	526.0	568.2	–	257.5
Operational costs	1 966.0	1 928.9	37.1	1 953.2	1 916.1	–	(12.8)
Total	**2 234.5**	**2 239.6**	**(5.1)**	**2 479.2**	**2 484.3**	–	**244.7**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

16. Should the Security Council extend the mandate of the Monitoring Group on Somalia and Eritrea beyond 24 August 2013 and should the Group operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $2,479,200 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of four positions (1 P-3, 1 General Service (Other level) and 2 General Service (Local level)) and the creation of three positions (General Service (Local level)) to provide substantive and administrative support to the members of the Group ($417,200); charges pertaining to three Security Officers to provide security services and escort to the experts ($108,800); experts' fees ($1,142,100) and official travel ($588,400) of the eight members of the Group; official travel of staff ($43,400); and other operational and logistical support requirements, such as the rental of office space, the rental of

vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($179,300).

17. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the delayed effect of the creation of a position of Political Affairs Officer (P-3) in 2012, which was budgeted with a 50 per cent vacancy rate and to the proposed creation of three positions of Drivers that were previously recruited as individual contractors.

18. The slight anticipated overrun for 2012 reflects the combined effect of savings under "experts" owing to the resignation of the finance expert in early January 2012 and the fact that he was not replaced for the remaining period of the 2011-2012 mandate which ended in July 2012; and of an overrun under "civilian personnel", owing mainly to the lower vacancy rate for the position of Political Affairs Officer of 25 per cent instead of 50 per cent budgeted and the addition of a third Security Officer, as recommended in the August 2011 risk assessment; under "facilities and infrastructure" as a result of an increase in the costs of common services, utilities and administrative services charged by the United Nations Office at Nairobi and to the inclusion of a provision for the rental of premises for the position of Political Affairs Officer established in 2012; and under "other supplies, services and equipment" owing to higher overtime costs for the drivers and to the cost of security training and uniforms for the Security Officers, which were not budgeted for in 2012.

Extrabudgetary resources

19. No extrabudgetary resources were available in 2012 or are projected for the Monitoring Group on Somalia and Eritrea for 2013.

Table 3
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	–	1	–	–	–	1	**2**	–	2	–	**4**
Proposed 2013	–	–	–	–	–	–	1	–	–	–	1	**2**	–	5	–	**7**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	**3**	–	**3**

20. In addition to the continuation of the existing four positions, it is proposed to create three new positions of Drivers (Local level) for the Monitoring Group on Somalia and Eritrea. Based on the security assessment conducted by the Department of Safety and Security in 2010 and updated in August 2011, it was determined that the Monitoring Group on Somalia and Eritrea faced greater security risk and threats than other United Nations programmes and activities in the area, given the sensitive nature of the work of the Monitoring Group. Several security measures were recommended, including the requirement for the experts and the armed United Nations security officer escorts to be provided with United Nations drivers and

vehicles for secure ground transport. To date, three drivers have been recruited as individual contractors and budgeted under "other supplies, services and equipment". However this type of contract requires the drivers to take mandatory three-month breaks after six months of service, leaving the Monitoring Group without drivers for periods of time. It is therefore proposed to create three positions of Driver (Local level) to ensure that the recommended security requirements are met.

B. Panel of Experts on Liberia

($632,200)

Background, mandate and objective

21. The Panel of Experts on Liberia was established pursuant to Security Council resolution 1343 (2001) to carry out the functions mandated in paragraph 19 of that resolution. The mandate of the Panel has been extended by the Council several times, most recently by resolution 2025 (2011). Given the continuation of the arms embargo and targeted travel and financial sanctions, as well as ongoing concerns about security sector reform, the implementation of the forestry legislation and compliance with the Kimberley Process Certification Scheme, as well as natural resource governance, the Council extended the mandate of the Panel until 14 December 2012.

22. The Panel assists the Security Council Committee established pursuant to resolution 1521 (2003) concerning Liberia in overseeing the sanctions regime and reports to the Council through the Committee. The Panel consists of three experts and is mandated under paragraph 5 of resolution 2025 (2011) to undertake the following tasks:

(a) To conduct two follow-up assessment missions to Liberia and neighbouring States in order to investigate and compile a midterm and a final report on the implementation, and any violations, of the measures on arms as amended by resolution 1903 (2009), including any information relevant to the designation by the Committee of the individuals described in paragraph 4 (a) of resolution 1521 (2003) and paragraph 1 of resolution 1532 (2004), and including the various sources of financing, such as from natural resources, for the illicit trade of arms;

(b) To assess the impact, effectiveness and continued need for the measures imposed by paragraph 1 of resolution 1532 (2004), including particularly with respect to the assets of former President Charles Taylor;

(c) To identify and make recommendations regarding areas where the capacity of Liberia and the States in the region can be strengthened to facilitate the implementation of the measures imposed by paragraph 4 of resolution 1521 (2003) and paragraph 1 of resolution 1532 (2004);

(d) Within the context of the evolving legal framework of Liberia, to assess the extent to which forest and other natural resources are contributing to peace, security and development rather than to instability and to what extent relevant legislation (National Forestry Reform Law, Lands Commission Act, Community Rights Law with respect to Forest Land, and Liberia Extract Industries Transparency Initiative Act) and other reform efforts are contributing to that transition, and to

provide recommendations on how such natural resources could better contribute to the country's progress towards sustainable peace and stability;

(e) To cooperate actively with the Kimberley Process Certification Scheme and to assess the compliance of the Government of Liberia with the Kimberley Process;

(f) To provide a midterm report to the Council through the Committee by 1 June 2012 and a final report to the Council through the Committee by 1 December 2012 on all issues listed in the present paragraph, and to provide informal updates to the Committee, as appropriate, before those dates, especially on the progress in the forest sector since the lifting of paragraph 10 of resolution 1521 (2003) in June 2006, and in the diamond sector since the lifting of paragraph 6 of resolution 1521 (2003) in April 2007;

(g) To cooperate actively with other relevant panels of experts, in particular that on Côte d'Ivoire re-established by paragraph 13 of resolution 1980 (2011) and that on the Democratic Republic of the Congo re-established by paragraph 4 of resolution 2021 (2011), with respect to natural resources;

(h) To assist the Committee in updating the publicly available reasons for listing for entries on the travel ban and assets freeze lists.

23. During the second half of 2011 and the first half of 2012, the Panel conducted field work in Liberia and interacted with Government officials, international partners of Liberia, diplomatic missions, civil society organizations and private-sector entities. The Panel conducted extensive investigations in Monrovia as well as in the Liberian counties bordering Côte d'Ivoire (Grand Gedeh, River Gee, Maryland and Nimba) to investigate allegations of cross-border movements of arms in connection with the post-election violence in Côte d'Ivoire. The Panel also visited the United States of America and worked with Kimberley Process personnel to assess the compliance of Liberia with the Process. In addition, the Panel assisted with the preparations of the visit to Liberia of the Chair of the Security Council Committee on Liberia from 13 to 18 May 2012 and attended various meetings with officials of the Government during the Chair's visit.

24. The Security Council allowed the timber sanctions to expire in June 2006 and confirmed that decision following a sanctions review in October 2006. Subsequently, and following its review of the sanctions measures, the Council, by resolution 1753 (2007), lifted the diamond sanctions on 27 April 2007. In the light of those positive developments, the Council decided, by resolution 1760 (2007), to reduce the number of experts from five to three. The Council, however, continues to call upon the Panel to assess the state of play in the timber and diamond sectors, even though the sanctions in those sectors have been lifted. Furthermore, the natural resources expert of the Panel has been mandated in paragraph 5 (d) of resolution 2025 (2011) to assess the contribution of not only timber and diamonds, but also of all natural resources to peace, security and development in Liberia rather than to instability.

Cooperation with other entities

25. In carrying out its mandate, the Panel of Experts on Liberia cooperates with similar groups established by the Security Council, in particular the Group of Experts on Côte d'Ivoire. The Panel has had ongoing communication and information

exchange with the Group of Experts. Pursuant to paragraph 5 (g) of resolution 2025 (2011), the Panel has also been tasked with cooperating with the Group of Experts on the Democratic Republic of the Congo with respect to natural resources.

26. The Panel of Experts also cooperates with and seeks the assistance of United Nations entities, international financial institutions and regional and intergovernmental organizations, such as the Special Court for Sierra Leone, the Economic Community of West African States (ECOWAS), ICAO and INTERPOL. The Panel also works closely with the Special Representative of the Secretary-General for Liberia, the United Nations Mission in Liberia (UNMIL), the United Nations Office on Drugs and Crime (UNODC) and the United Nations Office for West Africa.

27. The Panel of Experts undertakes most of its work in Liberia and thus benefits from synergies made possible by the presence of UNMIL, which assists the Panel by providing office space and information and communications technology equipment, arranging for ground and air transportation and security and assisting it with other administrative arrangements, thus enhancing the ability of the Panel to conduct the field work essential to its mandate and to follow up quickly on investigative leads. This assistance is provided free of charge with the exception of the daily subsistence allowance and overtime of the drivers. The Panel also benefits from substantive political briefings and other information provided by UNMIL, as well as interaction with UNMIL staff in the military, police, civil, environmental and judicial fields.

Performance information

28. As a result of its recent investigations, the Panel of Experts on Liberia was able to provide, in its final 2011 report (S/2011/757), information on the implementation by Liberia of the Kimberley Process Certification Scheme. In that connection, the Panel provided updated information on the Liberian diamond sector, including detailed statistics. To decrease the likelihood that embargoed Ivorian diamonds would enter Liberia, the Panel encouraged the Kimberley Process and the Government to develop a production and export footprint for Liberian diamonds. Furthermore, the Panel continued to provide a comprehensive assessment of the contribution of natural resources to peace, security and development in Liberia. In that connection, the Panel provided detailed information, including statistics, on the vision of Liberia for the role of natural resources; its evolving framework for natural resource governance; industrial natural resource concessions and concession allocations; the artisanal and informal sectors; and revenue transparency and non-payment issues, as well as benefit-sharing, access to information and public participation. The Panel also provided a detailed and comprehensive analysis of the security situation along the border between Liberia and Côte d'Ivoire, which saw the influx of a large number of Ivorian refugees in the aftermath of the 2010 post-electoral crisis in Côte d'Ivoire. The Panel made a total of 24 recommendations with regard to arms embargo violations by Liberian mercenaries and Ivorian militia, the tracing and destruction of arms, the assets freeze and natural resources (S/2011/757, paras. 234 to 257).

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Committee sent letters to Member States, United Nations departments and international organizations in connection with the findings contained in the final report of the Panel of Experts on Liberia and the 2012 midterm report. Furthermore, during his visit to Liberia in May 2012, the Committee Chair discussed the findings contained in the 2011 final report with Government, civil society and UNMIL officials. In particular, he discussed violations of the arms embargo by Liberian mercenaries and Ivorian militia in the aftermath of the 2010 post-election crisis in Côte d'Ivoire, as well as the reasons for the non-implementation of the assets freeze by the Government of Liberia
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The recommendations contained in the Panel's 2011 final report, its 2012 midterm report, and the Chair's visit to Liberia in May 2012, including his visit report of 12 June 2012 (S/AC.41/2012/NOTE.10/Add.5), provided the Security Council with a solid basis upon which to decide whether the sanctions regime needs to be adjusted • The Security Council comprehensively updated the assets freeze list and travel ban list on two occasions in 2011 (SC/10510 of 30 December 2011 and SC/10356 of 8 August 2011)
(c) Improved compliance by States with the sanctions measures	• The Panel of Experts transmitted approximately 25 communications to States and entities requesting actions or updates related to compliance with the sanctions measures

Planning assumptions for 2013

29. In 2013, the projected requirements for which are outlined in the present report, the Panel of Experts on Liberia will continue to collect information on the implementation by States of the relevant measures imposed by the Security Council and on any violations of those measures; assess the progress made towards meeting the conditions of the Council for lifting those measures; assess the implementation of the Liberian forestry legislation as well as compliance by Liberia with the Kimberley Process Certification Scheme; and make recommendations on how the capacity of States to facilitate the implementation of the remaining sanctions can be strengthened. The Panel will also continue to assist the Security Council Committee established pursuant to resolution 1521 (2003) in updating the publicly available reasons for the listing of entries on the travel ban and assets freeze lists, as directed by the Council in its resolution 1854 (2008). The Panel will also continue to assess the extent to which forestry and other natural resources are contributing to peace, security and development, and make relevant recommendations on how the natural resources of Liberia can better contribute to its progress towards sustainable peace and stability. The Panel will also continue to monitor the security situation along the border with Côte d'Ivoire and in the gold mines in the border region.

30. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To ensure the implementation and enforcement of the relevant sanctions measures adopted by the Security Council

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Panel of Experts *Performance measures* 2011: 23 Estimate 2012: 25 Target 2013: 25

Outputs

- Reports to the Committee (2)
- Briefings to the Committee (2)
- Investigations related to the implementation and violations of the Security Council's sanctions (4)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Panel agreed upon by the Committee *Performance measures* 2011: 26 Estimate 2012: 28 Target 2013: 30 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 2 Estimate 2012: 2 Target 2013: 2

(iii) Number of amendments to entries on the travel ban and assets freeze lists

Performance measures

2011: 30

Estimate 2012: 30

Target 2013: 30

Outputs

- Recommendations to the Committee on adjustments to the sanctions regime (30)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (2)

External factors

31. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Table 4
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
	Appropriation	*Estimated expenditure*	*Variance under- (over-) expenditure*	*Total*	*Net*[a]	*Non- recurrent*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)=(4)-(3)*	*(6)*	*(7)=(4)-(1)*
Operational costs	641.7	592.9	48.8	632.2	583.4	–	(9.5)
Total	**641.7**	**592.9**	**48.8**	**632.2**	**583.4**	**–**	**(9.5)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

32. Should the Security Council extend the mandate of the Panel of Experts on Liberia beyond 14 December 2012 and should the Panel operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $632,200 (net of staff assessment). That amount would provide for the experts' fees ($315,000) and official travel ($220,200) of the three members of the Panel; the fees ($54,500) and official travel ($17,600) of two consultants for three months each; and other operational and logistical support requirements, such as communications, information technology equipment and maintenance, and miscellaneous supplies and services ($24,900).

33. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the discontinuation of a one-time provision for the acquisition of information technology equipment and specialized software required by the Panel for the analysis of complex and large-volume data.

34. The anticipated unencumbered balance for 2012 is attributable mainly to delays in the appointment of the experts who were not immediately available upon renewal of the mandate in December 2011, leading to a shorter period of work from 11 months budgeted to 10 months actually worked.

Extrabudgetary resources

35. No extrabudgetary resources were available in 2012 or are projected for the Panel of Experts on Liberia for 2013.

C. Group of Experts on Côte d'Ivoire

($1,293,400)

Background, mandate and objective

36. The Group of Experts on Côte d'Ivoire was established by the Security Council in resolution 1584 (2005). The mandate of the Group has been extended by the Council several times, most recently by resolution 2045 (2012) until 30 April 2013.

37. The Group assists the Security Council Committee established pursuant to resolution 1572 (2004) concerning Côte d'Ivoire in overseeing the sanctions regime and reports to the Council through the Committee. The Group of Experts consists of five members with expertise in arms, diamonds, finance, customs and regional issues, and is mandated to undertake the following tasks in accordance with paragraph 7 of resolution 1727 (2006), as renewed by paragraph 15 of resolution 2045 (2012):

(a) To exchange information with the United Nations Operation in Côte d'Ivoire (UNOCI) and the French forces in the context of their monitoring mandate set out in paragraphs 2 and 12 of Council resolution 1609 (2005);

(b) To gather and analyse all relevant information in Côte d'Ivoire and elsewhere, in cooperation with the Governments of those countries, on flows of arms and related materiel, on the provision of assistance, advice or training related to military activities, on networks operating in violation of the measures imposed by paragraph 7 of resolution 1572 (2004) and on the sources of financing, including from the exploitation of natural resources in Côte d'Ivoire, for purchases of arms and related materiel and activities;

(c) To consider and recommend, where appropriate, ways of improving the capabilities of States, in particular those in the region, to ensure the effective implementation of the measures imposed by paragraph 7 of resolution 1572 (2004) and paragraph 6 of resolution 1643 (2005);

(d) To seek further information regarding the action taken by States with a view to implementing effectively the measures imposed by paragraph 6 of resolution 1643 (2005);

(e) To keep the Committee regularly updated on its activities;

(f) To provide the Committee in its reports with evidence of any violations of the measures imposed by paragraph 7 of resolution 1572 (2004) and paragraph 6 of resolution 1643 (2005);

(g) To cooperate with other relevant groups of experts, in particular that established on Liberia by resolutions 1521 (2003) and 1579 (2004);

(h) To monitor the implementation of the individual measures set out in paragraphs 9 and 11 of resolution 1572 (2004).

Cooperation with other entities

38. In carrying out its mandate, the Group of Experts on Côte d'Ivoire exchanged information with UNOCI and the French forces. The Group also cooperated with other similar groups established by the Security Council, notably the Panel of Experts on Liberia. The Group also sought information from banks and other private financial institutions to verify the implementation of financial restrictions imposed by the Council in its resolution 1572 (2004). The Group liaised with many West African countries in the framework of its mandate. It also cooperated with, and sought the assistance of, United Nations system agencies and regional and intergovernmental organizations, such as the Agency for the Safety of Aerial Navigation in Africa, the Central Bank of West African States, ECOWAS, the International Cocoa Organization, the International Monetary Fund, INTERPOL, the Kimberley Process and the World Bank. The Group also benefited from meetings and exchanges with civil society and non-governmental organizations.

Performance information

39. In 2011 and the first four months of 2012, notwithstanding the delays in the appointment of the experts, notably the arms experts, the Group acquired strong physical evidence suggesting a consistent pattern of violations of the sanctions regime. In its final report of 11 April 2012 (S/2012/196), the Group noted that there were numerous violations of the arms embargo. The Group noted with concern that Côte d'Ivoire, after the post-electoral crisis, was awash with weapons and ammunition that remain unaccounted for; there were no effective disarmament, demobilization and reintegration programmes; the security sector reform was not proceeding regularly and efficiently; borders continued not to be properly monitored; gendarmerie and police were still underequipped; and the economic and military structure created by Zone Commanders continued to function as it did prior to the post-electoral crisis. In the area of arms, the Group outlined three specific and documented cases in its final report.

40. In the area of finance, the Group confirmed with extensive evidence that revenues obtained from natural resources, notably oil and cocoa, had been used by the previous administration for the purchase of arms and related materiel. The Group was also able to shed light on the internal dynamics of the financial network put into place by the previous administration to violate the arms embargo. The Group believed, that in order to guarantee a successful implementation of the embargo, future groups of experts must conduct permanent monitoring of the financial activities related to Ivorian natural resources, which are increasingly gaining importance in the country's economy.

41. In the area of diamonds, the Group noted that diamond mining continued unabated and remained an illegal activity in Côte d'Ivoire and that the Government had yet to fully regain administrative control over the mining areas. The Government is slowly re-engaging with regard to the Kimberley Process. The Group continued its investigations into the diamond supply chain within Côte d'Ivoire, its

neighbouring countries and, subsequently, the global market. As of its reporting date, the Group could not exclude the prospect that revenues from diamond production had been used for the purchase of weapons and related materiel.

42. In the area of customs, the Group reported that the country still suffers from weak or non-existent customs controls throughout the Ivorian territory. Customs officers were deployed on the borders; however, they were unable to operate safely and efficiently owing to a lack of resources. Therefore, as a result of poor security conditions, the lack of control at the borders and low-level racketeering on the roads through mobile and fixed roadblocks, the Group remained concerned by the possible movement of arms and ammunition from neighbouring countries into Côte d'Ivoire. With regard to the individuals whose names are on the Committee's sanctions list, the Group launched a comprehensive investigation requesting all Ivorian banks, including publicly and privately owned banks, to report about all accounts owned by designated individuals.

43. The Group's findings, as set out in its published reports, provided the Committee with new information and data in relation to the situation of the sanctions regime, highlighting possible or actual violations. Pursuant to the Group's recommendations, the Committee addressed letters to Member States and entities directing their attention to relevant findings in the Group's midterm report of October 2011 (S/2011/642) and final report of April 2012 (2012/196) and requesting their views on the findings of the Group. Overall, on the basis of the Group's reports, the Security Council was able to take informed decisions in terms of addressing the Ivorian situation, in particular, and in general, refining the sanctions regime with the adoption on 26 April 2012 of resolution 2045 (2012).

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Group of Experts on Côte d'Ivoire maintained a constant presence in the country and the region, also travelling to particular areas of interest for its mandate • The Group collected information and evidence on major national and international networks involved in the illicit traffic of arms and related materiel in violation of the sanctions regime. Among others, the Group highlighted and described the following cases: ammunition imported in violation of the sanctions regime; the Montoya-Lafont-Kapylou network, which violated the sanctions regime on numerous occasions; and the role played in the violations of the sanctions regime by a former Ivorian Commander

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
	• The Group contacted numerous companies involved in the exploitation of natural resources in Côte d'Ivoire and analysed their role in possible violations of the sanctions regime. The Group was able to confirm with extensive evidence that revenues obtained from natural resources were used for the purchase of arms and related materiel. The Group was also able to shed light on the internal dynamics of the financial network put into place by the previous administration to violate the arms embargo
	• The Group provided the Committee with an exhaustive analysis of the implementation of the sanctions regime in Côte d'Ivoire, including a list of stakeholders involved in the activities of investigation of the Group. As a consequence, the Committee followed up by sending letters to selected entities and, in some cases, the Chair of the Committee met with concerned stakeholders
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Group investigated thoroughly all aspects related to the arms and diamonds embargoes, including all possible links between the exploitation of natural resources and the purchase of arms and related materiel in violation of the sanctions regime, military trainings and foreign assistance
	• The Group provided the Committee with an exhaustive analysis of the implementation of the sanctions regime in Côte d'Ivoire, including recommendations on possible developments and adjustments to be considered by Members
	• The Security Council, also in the light of the Group's reports, adjusted the sanctions regime imposed on Côte d'Ivoire, reflecting the changes in resolutions 1980 (2011) and 2045 (2012)
(c) Improved compliance by States with the sanctions measures	• The Group continued to inform and support the newly elected Government of Côte d'Ivoire on best practices in the implementation of the sanctions regime. On many occasions, during meetings with Ivorian authorities, the Group explained exemptions procedures to the arms embargo
	• The Group also convened several meetings at the Ministry of Energy and Mines to discuss the possible future participation of Côte d'Ivoire in the Kimberley Process and the necessary criteria to become a participant, in the event that the diamond embargo is lifted
	• The Group maintained contacts with many States of the region and elsewhere in order to discuss and receive updates on the implementation and enforcement of the measures imposed on Côte d'Ivoire
	• Member States communicated to the Committee the measures taken for the implementation of the sanctions regime imposed on Côte d'Ivoire, including a description of laws and decrees adopted in that context

Planning assumptions for 2013

44. In 2013, the projected requirements for which are outlined in the present report, the Group of Experts on Côte d'Ivoire will continue to collect information on the implementation by States of the measures imposed by the Security Council, consider ways to improve the capabilities of States to ensure the effective implementation of the measures imposed by the Council in resolution 1572 (2004), and monitor overall compliance with the sanctions regime and report on possible violations.

45. The objective, expected accomplishments and indicators of achievement of the Group of Experts are set out below.

Objective: To ensure the full implementation of Security Council resolution 1572 (2004) and all subsequent related decisions of the Council in connection with the arms embargo, diamond embargo and related travel and financial sanctions measures concerning Côte d'Ivoire

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Committee to States on alleged violations cited by the Group of Experts *Performance measures* 2011: 31 Estimate 2012: 25 Target 2013: 25 (ii) Number of bilateral meetings between the Chair of the Committee and concerned States to follow up on the Group's reports *Performance measures* 2011: 2 Estimate 2012: 3 Target 2013: 3

Outputs

- Reports to the Committee (2)
- Progress reports to the Committee (6)
- Investigations related to the implementation and/or violation of the Council's sanctions provided to the Committee

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Group agreed upon by the Sanctions Committee *Performance measures* 2011: 40 Estimate 2012: 40 Target 2013: 40 (ii) Number of recommendations by the Group of Experts incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 2 Estimate 2012: 4 Target 2013: 2 (iii) Number of amendments to entries on the Committee's sanctions lists *Performance measures* 2011: zero Estimate 2012: 3 Target 2013: 5

Outputs

- Recommendations on adjustments to the sanctions regime (5)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (10)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2011: 57 Estimate 2012: 60 Target 2013: 60

	(ii) Number of laws or decrees adopted by States to implement sanctions measures
	Performance measures
	2011: 2
	Estimate 2012: 3
	Target 2013: 4

Outputs

- Communications to States and entities requesting action or updates relating to compliance with the sanctions measures (10)
- Investigations into the compliance of States and entities with the sanctions regime

External factors

46. The objectives would be achieved on the assumption that States comply with relevant resolutions of the Security Council and cooperate with the Group of Experts and provided that the Group's investigations are unhindered.

Table 5
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	123.8	135.3	(11.5)	130.5	142.0	–	6.7
Operational costs	1 195.6	1 155.9	39.7	1 162.9	1 123.2	–	(32.7)
Total	**1 319.4**	**1 291.2**	**28.2**	**1 293.4**	**1 265.2**	–	**(26.0)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

47. Should the Security Council extend the mandate of the Group of Experts on Côte d'Ivoire beyond 30 April 2013 and should the Group operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $1,293,400 (net of staff assessment). That amount would provide for salaries and common staff costs for one P-3 level position to provide substantive backstopping and support to the members of the Group ($130,500); experts' fees ($502,700) and official travel ($563,800) of the five members of the Group; official travel of staff ($50,000); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($46,400).

48. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to a reduction under travel of staff based on the pattern of expenditures and to the fact that the Political Affairs Officer needs to provide support to the Committee in New York and therefore travels less with the experts; and to the discontinuation of a one-time provision for the acquisition of information technology equipment and specialized software required by the Group for the analysis of complex and large-volume data. These reductions are offset partly by the inclusions of a provision for the rental of premises.

49. The anticipated unencumbered balance for 2012 is attributable mainly to lower expenditures under travel of staff based on the pattern of expenditures and to the fact that the Political Affairs Officer needs to provide support to the Committee in New York and therefore travels less with the experts.

Extrabudgetary resources

50. No extrabudgetary resources were available in 2012 or are projected for the Group of Experts on Côte d'Ivoire for 2013.

Table 6
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Proposed 2013	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

51. In 2013, there will be no change to the approved staffing structure of the Group of Experts on Côte d'Ivoire.

D. Group of Experts on the Democratic Republic of the Congo

($1,533,400)

Background, mandate and objective

52. The Group of Experts on the Democratic Republic of the Congo was established by the Security Council in its resolution 1533 (2004). The mandate of the Group has been extended by the Council several times, most recently by resolution 2021 (2011). In paragraph 4 of that resolution, the Security Council requested the Secretary-General to extend the mandate of the Group of Experts until 30 November 2012, and requested the Group to report to the Council in writing, through the Committee, by 18 May 2012 and again before 19 October 2012.

53. The role of the Group of Experts is to monitor the implementation and violations of the arms embargo and the associated targeted sanctions regime,

reporting to the Security Council Committee that was also established by resolution 1533 (2004). On the basis of its findings, the Group of Experts can recommend individuals and entities to be subjected to a travel ban and assets freeze, as designated by the Committee. The scope for such recommendation extends to individuals or entities providing support to armed groups, leaders of armed groups obstructing the disarmament and voluntary repatriation or resettlement of combatants, and individuals committing serious violations of international law involving the targeting of children or women in situations of armed conflict.

54. The mandate of the Group is derived from Security Council resolutions 1807 (2008), 1857 (2008) and 1952 (2010). Its tasks pursuant to those resolutions may be summarized as follows:

(a) To examine and analyse information gathered by the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) in the context of its monitoring mandate and share with MONUSCO, as appropriate, information that might be of use to the Mission's monitoring mandate;

(b) To cooperate with Governments to gather and analyse all relevant information on flows of arms and related materiel, and on networks operating in violation of the embargo by providing arms, military or financial assistance to non-governmental entities and individuals operating in the Democratic Republic of the Congo;

(c) To focus its activities on areas affected by the presence of illegal armed groups, including the provinces of North and South Kivu and Orientale Province, as well as on regional and international networks providing support to illegal armed groups, criminal networks and perpetrators of serious violations of international humanitarian law and human rights abuses, including those within the national armed forces, operating in the eastern part of the Democratic Republic of the Congo;

(d) To report on the implementation of measures to enforce the arms embargo and related targeted sanctions, with recommendations in that regard, including information on the sources of financing, such as from natural resources, which are funding the illicit trade in arms;

(e) To recommend ways of improving the capabilities of States to ensure that the arms embargo measures are effectively implemented;

(f) To provide the Committee with a list, with supporting evidence, of those found to have violated the terms of the embargo and those found to have supported them in such activities, for possible future measures by the Council;

(g) To assist the Committee in its designation of the following individuals and entities, and in compiling and updating the narrative summaries of publicly available reasons for designation: persons or entities acting in violation of the arms embargo; political and military leaders of foreign armed groups operating in the Democratic Republic of the Congo who impede the disarmament and voluntary repatriation or resettlement of combatants belonging to those groups; political and military leaders of Congolese militias receiving support from outside the Democratic Republic of the Congo who impede the participation of their combatants in disarmament, demobilization and reintegration processes; political and military

leaders operating in the Democratic Republic of the Congo and recruiting or using children in armed conflicts in violation of applicable international law; individuals operating in the Democratic Republic of the Congo and committing serious violations of international law targeted at children or women in situations of armed conflict, including killing and maiming, sexual violence, abduction and forced displacement; individuals obstructing access to or the distribution of humanitarian assistance in the eastern part of the Democratic Republic of the Congo; individuals or entities supporting illegal armed groups in the eastern part of the Democratic Republic of the Congo through illicit trade of natural resources;

(h) To evaluate the implementation of due diligence guidelines for importers, processing industries and consumers of Congolese mineral products, as set out in the final 2010 report of the Group of Experts (S/2010/596), and to continue its collaboration with relevant forums.

Cooperation with other entities

55. In carrying out its mandate, the Group of Experts on the Democratic Republic of the Congo works closely with MONUSCO, which was mandated by the Council to monitor the implementation of the arms embargo and to share information with the Group of Experts. In the course of implementing its mandate, the Group met officials of the Government of the Democratic Republic of the Congo, including the Vice-Prime Minister and Minister of the Interior, presidential security advisers, the President's Special Envoy and the Permanent Representative of the Democratic Republic of the Congo to the United Nations, as well as numerous provincial and local authorities. The Group is also in close contact with INTERPOL, UNODC and the International Conference on the Great Lakes Region. In addition, the Group exchanged information with the Groups of Experts on Liberia, Somalia, the Sudan, Côte d'Ivoire and Libya. The Group also liaised with and visited a number of countries in the Great Lakes region in the framework of its mandate.

56. Aside from substantive collaboration with MONUSCO, the Group of Experts benefits from administrative synergies with the Mission, which assists the Group by providing it with office space in Goma, with ground and air transportation, and with an armed escort for special field missions, and by making travel arrangements. The Group also benefits from administrative services made available by local MONUSCO offices in the region and UNDP offices in Africa. Most services are provided free of charge, while the cost of drivers is reimbursed by the Group.

Performance information

57. The Security Council expressed satisfaction with the quality of the final report of the Group of Experts (S/2011/738). The Group observed that foreign and Congolese armed groups were positioning themselves for the post-electoral period. The Forces démocratiques de libération du Rwanda (FDLR) has continued to build alliances with Congolese armed groups. Attempts to restructure the Democratic Republic of the Congo armed forces (FARDC) have allowed FDLR and other armed groups, such as the Allied Democratic Forces and the Forces de libéération nationale, to regain some ground. The experts underscored that FARDC was still divided by parallel chains of command, especially in units formed by ex-Congrès national pour la défense du peuple (CNDP) soldiers. The Group's findings also pointed to the fact that armed groups and networks within FARDC still control the

trade of natural resources in their areas of influence. The Group observed that there was good awareness of the due diligence guidelines among international stakeholders. The Government of the Democratic Republic of the Congo and countries in the region have also taken steps to raise awareness about the guidelines, with the assistance of the International Conference on the Great Lakes Region. The Group of Experts considered that the due diligence guidelines, coupled with regional efforts, minimized the risks that companies provide direct or indirect support to armed groups, individuals and entities that either are or could be subject to targeted sanctions, as well as to criminal networks and perpetrators of serious violations of international humanitarian law and human rights abuses, including within FARDC. With regard to the arms embargo, the Group noted that most of the arms, ammunition and uniforms of armed groups were obtained through leaks from FARDC stocks.

58. Positive action was taken by the Sanctions Committee with respect to the recommendations contained in the Group's 2011 final report, either by incorporating them in Security Council resolution 2021 (2011), by which the Council extended the sanctions regime and the mandate of the Group of Experts, or by sending out note verbales and letters to Member States and relevant United Nations bodies, such as MONUSCO. Overall, on the basis of the Group's reports, the Council was able to take informed decisions in terms of addressing the current situation in the Democratic Republic of the Congo, in particular, and in general, refining the sanctions regime with the adoption on 29 November 2011 of resolution 2021 (2011).

59. In its 2012 interim report (S/2012/348) and the addendum thereto (S/2012/348/Add.1), the Group continued to investigate the degree to which armed groups and criminal networks within FARDC were involved in and benefited from the trade in natural resources. At the same time, the Group documented some of the progress made in the demilitarization of mining zones and the efforts under way to promote and implement its due diligence guidelines with upstream and downstream actors in the supply chain. The Group highlighted key trends and events with regard to the implementation of due diligence requirements, in the gold, tin, tantalum and tungsten sectors, within the Democratic Republic of the Congo, as well as at the regional and international levels. The Group continued to investigate and report the involvement of foreign armed groups in local sources of financing, such as the trade in natural resources, recruitment efforts, weapons procurement, and any local or external financial or military support. The Group also reported that civilians continue to suffer abuses from armed groups as well as from Congolese security forces; women and children continue to be the prime targets of sexual violence; and child recruitment by armed groups increased. There have been several major incidents throughout the eastern part of the Democratic Republic of the Congo of indiscriminate killings of civilians, including women and children, by armed groups and, to a lesser degree, by FARDC.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Group of Experts on the Democratic Republic of the Congo investigated thoroughly all aspects relating to the arms embargo, including all possible links between the exploitation of natural resources and the purchase of arms and related materiel in violation of the sanctions regime
	• Particular focus was given to armed groups of the region. Since the signature of agreements between the Government of the Democratic Republic of the Congo and the CNDP and Pareco armed groups, the Group has sought to monitor their integration (or non-integration, as evidenced in document S/2012/348), noticing that this process of integration is currently facing concrete challenges, including mutiny
	• The Group provided the Committee with an exhaustive analysis of the implementation of the sanctions regime in the Democratic Republic of the Congo, including a list of stakeholders involved in the activities of investigation of the Group. As a consequence, the Committee followed up by sending letters to selected entities
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• The Group provided the Committee with a confidential list of proposed names of individuals and entities for possible targeted sanctions, in conjunction with its final report
	• The Group provided ad hoc reports to the Committee, such as proposed updates of the Committee's sanctions list, and other reports, as necessary
	• The Group highlighted key trends and events with regard to the implementation of due diligence requirements, in the gold, tin, tantalum and tungsten sectors, within the Democratic Republic of the Congo, as well as at the regional and international levels
(c) Improved compliance by States with the sanctions measures	• The Group continued to inform, support and advise the Government of the Democratic Republic of the Congo on how to implement and respect the sanctions regime
	• The Group maintained contacts with many States of the region and elsewhere in order to discuss and receive updates on the implementation and enforcement of the measures imposed on the Democratic Republic of the Congo
	• Member States communicated to the Committee measures taken for the implementation of the sanctions regime imposed on the Democratic Republic of the Congo, including a description of the laws and decrees adopted in that context

Planning assumptions for 2013

60. In 2013, the projected requirements for which are outlined in the present report, the Group of Experts on the Democratic Republic of the Congo will collect information on the implementation by States of the measures imposed by the Security Council; investigate and analyse information regarding the flow of arms and the operation of networks in violation of relevant measures imposed by the Council; and make recommendations for consideration by the Council on future action to be taken, including on individuals who commit serious violations of international law targeting children and women, on political and military leaders of armed groups who prevent their combatants from disarming, on individuals obstructing access to or the distribution of humanitarian assistance in the eastern part of the Democratic Republic of the Congo, and on individuals or entities supporting the illegal armed groups in the eastern part of the country through the illicit trading of natural resources. The Group will also continue to evaluate the implementation of due diligence guidelines for importers, processing industries and consumers of Congolese mineral products and include in their evaluation a comprehensive assessment on the economic and social development of the relevant mining areas in the Democratic Republic of the Congo.

61. The objective, expected accomplishments and indicators of achievement of the Group of Experts are set out below.

Objective: To ensure the full implementation of Security Council resolution 1533 (2004) and all subsequent related decisions of the Council in connection with the arms embargo on non-governmental entities and individuals in the Democratic Republic of the Congo, including indirect support to such entities and individuals through the exploitation and trafficking of natural resources

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Group of Experts *Performance measures* 2011: 58 Estimate 2012: 70 Target 2013: 70

Outputs

- Reports to the Committee (2)
- Investigations reports relating to the implementation and/or violation of the Council's sanctions provided to the Committee

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Group agreed upon by the Committee *Performance measures* 2011: 49 Estimate 2012: 35 Target 2013: 35 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 5 Estimate 2012: 5 Target 2013: 7 (iii) Number of amendments to entries on the Committee's sanctions list *Performance measures* 2011: 132 Estimate 2012: 39 Target 2013: 40

Outputs

- Recommendations on adjustments to the sanctions regime (5)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (25)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2011: 57 Estimate 2012: 80 Target 2013: 85

(ii) Number of laws or decrees adopted by States to implement sanctions measures

Performance measures

2011: 9

Estimate 2012: 5

Target 2013: 5

Outputs

- Communications to States and entities requesting action or updates relating to compliance with the sanctions measures (15)
- Investigations into the compliance of States and entities with the sanctions regime

External factors

62. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Group of Experts and provided that the Group's investigations are not hindered.

Table 7
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
	Appropriation	*Estimated expenditure*	*Variance under- (over-) expenditure*	*Total*	*Net*[a]	*Non- recurrent*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)=(4)-(3)*	*(6)*	*(7)=(4)-(1)*
Civilian personnel costs	163.5	87.3	76.2	156.9	80.7	–	(6.6)
Operational costs	1 382.8	1 274.2	108.6	1 376.5	1 267.9	–	(6.3)
Total	**1 546.3**	**1 361.5**	**184.8**	**1 533.4**	**1 348.6**	–	**(12.9)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

63. Should the Security Council extend the mandate of the Group of Experts on the Democratic Republic of the Congo beyond 30 November 2012 and should the Group operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $1,533,400 (net of staff assessment). That amount would provide for salaries and common staff costs for one P-3 position to provide substantive backstopping and support to the members of the Group ($156,900); experts' fees ($480,000) and official travel ($703,400) of the six members of the Group; official travel of staff ($70,000); and other operational and logistical support requirements, such as the rental of premises, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($123,100).

64. The slight variance between the 2013 requirements and the 2012 appropriation is attributable to the inclusion of a provision for the rental of premises and an increase under transportation owing to increases in the salaries and amount of per diem of the drivers provided by MONUSCO and a slight increase in the cost of rental of vehicles. This is offset partly by the reduced requirement for the travel of the Political Affairs Officer and the discontinuation of a one-time provision for the acquisition of specialized software required by the Group for the analysis of complex and large volumes of data.

65. The anticipated unencumbered balance for 2012 is attributable mainly to a shorter period of work owing to delays in the appointment of some members of the Group of Experts and the position of Political Affairs Officer being vacant for six months in 2012, which lead to savings under salaries and under travel of staff. This was offset partly by additional requirements for transportation and the unbudgeted recruitment of two local assistants as individual contractors to support the members of the Group of Experts in collecting information, documents and other evidence concerning the financing of and support to armed groups within the Group's mandate.

Extrabudgetary resources

66. No extrabudgetary resources were available in 2012 or are projected for the Group of Experts on the Democratic Republic of the Congo for 2013.

Table 8
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Proposed 2013	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

67. In 2013, there will be no change in the approved staffing structure of the Group of Experts on the Democratic Republic of the Congo.

E. Panel of Experts on the Sudan

($1,609,000)

Background, mandate and objective

68. The Panel of Experts on the Sudan was established under Security Council resolution 1591 (2005), by which the Council requested the Secretary-General to appoint for a period of six months a panel comprising four members to be based in Addis Ababa, which would operate under the direction of the Security Council Committee established pursuant to the same resolution and carry out the tasks

assigned in paragraph 3 (b) of the resolution. A fifth member was appointed pursuant to resolution 1713 (2006). The mandate of the Panel of Experts has been extended by the Council several times, most recently by resolution 2035 (2012) until 17 February 2013. In that resolution, the Security Council requested the Secretary-General to take the necessary administrative measures, including basing arrangements, as expeditiously as possible. In his letter dated 9 April 2012 addressed to the Under-Secretary-General for Political Affairs, the Chair of the Committee conveyed the Committee's agreement to the proposal that the Panel of Experts be home-based, as also recommended by the Panel in its final report dated 24 January 2012.

69. The current mandate of the Panel of Experts, as set out in resolution 1591 (2005) and updated in subsequent resolutions, is as follows:

(a) To assist the Security Council Committee in monitoring the implementation of the measures in paragraphs 3 (d), 3 (e) and 7 of resolution 1591 (2005) and paragraphs 7 and 8 of resolution 1556 (2004), namely the travel ban, the assets freeze and the arms embargo, and to make recommendations to the Committee on actions the Council might wish to consider;

(b) To provide a midterm briefing on its work to the Committee no later than 31 July 2012, and an interim report no later than 90 days after the adoption of resolution 2035 (2012) and a final report no later than 30 days prior to the termination of its mandate to the Council through the Committee with its findings and recommendations;

(c) To coordinate its activities as appropriate with the operation of the African Union-United Nations Hybrid Operation in Darfur (UNAMID) and with international efforts to promote the political process in Darfur and to assess in its interim and final reports progress towards reducing violations by all parties of the measures imposed by paragraphs 7 and 8 of resolution 1556 (2004), paragraph 7 of resolution 1591 (2005) and paragraph 10 of resolution 1945 (2010), and progress towards removing impediments to the political process, threats to stability in Darfur and the region, violations of international humanitarian and human rights law, or other atrocities, including sexual and gender-based violence, and other violations of the above-mentioned resolutions, and to provide the Committee with information on the individuals and entities that meet the listing criteria 3 (c) of resolution 1591 (2005).

70. In 2011 and 2012, the Panel undertook field work in the Sudan, in particular visits to Darfur, and interacted with Government officials, the United Nations Mission in the Sudan whose mandate ended in July 2011, UNAMID, international staff of various organizations working in Darfur, interested Member States and civil society actors. The Panel also travelled to Belarus, Belgium, Chad, Ethiopia, France, Kenya, Lebanon, Qatar, South Sudan, Uganda, Ukraine, the United Kingdom of Great Britain and Northern Ireland, the United States and the United Arab Emirates for meetings with Government officials and other stakeholders, such as representatives of armed opposition groups, civil society actors, representatives of the United Nations and regional organizations and the diplomatic corps. Under its previous mandate, the Panel prepared an interim report, delivered a midterm briefing accompanied by a written report, and submitted a final report, which the Panel presented to the Committee in informal consultations. Under its current mandate, the Panel has thus far prepared an interim report. The Panel interacted

with the Security Council Committee on a regular basis, in person and by means of videoconference facilities.

Cooperation with other entities

71. In carrying out its mandate, the Panel of Experts on the Sudan seeks the cooperation and assistance of and information from Government authorities, non-governmental and international organizations, private entities and civil society actors. In Darfur, in particular, it relies on the cooperation and assistance of UNAMID. The Panel interacts on a regular basis with several Member States regarding the implementation of the sanctions measures. It also seeks the cooperation of the Office of the Special Representative of the Secretary-General for Children and Armed Conflict and the Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict as well as with United Nations-led field missions in neighbouring countries. In 2012, the Panel also seeks to cooperate with INTERPOL on individuals and entities appearing in the Committee's sanctions list and to provide information on other issues of common interest relating to the mandates of the Committee and the Panel.

Performance information

72. The Panel submitted an interim report on 30 March 2011. The Coordinator of the Panel also delivered a midterm briefing to the Committee, which was accompanied by a written report, on 28 June 2011. The Panel submitted its final report, pursuant to resolutions 1945 (2010) and 1982 (2011), on 24 January 2012 and presented its findings to the Committee. The Panel's findings and recommendations have assisted the Security Council in gaining a more comprehensive understanding of the evolving circumstances of the conflict in Darfur, the flow of arms into the region and the movement of the Darfur armed groups. The findings have also assisted the Council in gaining a better understanding of the underlying factors of the attacks against civilians and against peacekeeping personnel in Darfur. All 13 recommendations contained in the Panel's 2012 final report were considered by the Committee, which took follow-up action on 7 of them. The remaining recommendations were either of an administrative nature, addressed to the Security Council, or were not agreed upon. Some of the recommendations contained in the final report were reflected in the Council's resolution 2035 (2012) adopted on 17 February 2012. For example, the Council, in its resolution 2035 (2012), expressed concern that certain items were being converted for military purposes and transferred to Darfur. The Council also requested the Panel to continue to investigate attacks against peacekeeping personnel in accordance with the findings of the Panel's final report. In 2012, the Panel of Experts has thus far submitted three monthly updates covering its activities in May, June and July following its reconstitution in April 2012. The monthly updates were newly introduced in resolution 2035 (2012). The Panel also prepared and submitted its interim report to the Committee on 31 July 2012.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	• On 24 January 2012, the Panel submitted to the Security Council Committee its final report, which contained 13 recommendations addressed to the Council, to the Committee or to Member States. Of these, three related to the arms embargo, two related to the travel ban and assets freeze, two concerned international humanitarian law and human rights issues, two concerned impediments to the peace process, one related to reviewing the list of individuals subject to the targeted measures, one related to access issues faced by the Panel, and two related to administrative or technical matters
	• On 4 June, the Panel submitted the first monthly update on its work to the Committee
(b) Improved compliance by States with the sanctions measures	• In 2011, the Panel received 20 communications from Member States in response to its letters on compliance-related issues
	• Also in 2011, the Committee or the Panel received one communication seeking advice on ways to improve compliance
	• In 2012, thus far the Panel has received nine communications from Member States in response to its letters on compliance-related issues

Planning assumptions for 2013

73. In 2013, the projected requirements for which are outlined in the present report, the Panel of Experts on the Sudan will continue to collect information on the implementation by Member States of the measures imposed by the Security Council and possible violations, make recommendations to the Committee on future action that the Council may wish to consider and coordinate its activities with UNAMID and with international efforts to promote the political process in Darfur. The Panel will also continue to serve as a source of information on individuals and entities who, on the basis of the criteria contained in resolution 1591 (2005) and updated by resolution 2035 (2012), could possibly be designated as subject to the travel ban and assets freeze.

74. The objective, expected accomplishments and indicators of achievements of the Panel of Experts are set out below.

Objective: To ensure the enforcement of the sanctions measures imposed by Security Council resolutions 1556 (2004) and 1591 (2005)

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	(a) (i) Number of recommendations made by the Panel agreed upon by the Committee
	Performance measures
	2011: 4
	Estimate 2012: 8
	Target 2013: 8
	(ii) Number of recommendations incorporated by the Security Council in subsequent resolutions
	Performance measures
	2011: 1
	Estimate 2012: 3
	Target 2013: 3

Outputs

- Reports to the Security Council, through the Committee (3)
- Monthly updates to the Committee (9)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) Number of communications from States and entities informing of compliance-related issues
	Performance measures
	2011: 60
	Estimate 2012: 50
	Target 2013: 45

Outputs

- Written communications to States and entities enquiring about compliance-related issues (150)

External factors

75. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts on the Sudan and provided that the activities of the Panel are not hindered.

Table 9
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	117.8	120.7	(2.9)	127.2	130.1	–	9.4
Operational costs	1 728.5	1 441.4	287.1	1 481.8	1 194.7	–	(246.7)
Total	**1 846.3**	**1 562.1**	**284.2**	**1 609.0**	**1 324.8**	**–**	**(237.3)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

76. Should the Security Council extend the mandate of the Panel of Experts on the Sudan beyond 17 February 2013 and should the Panel operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $1,609,000 (net of staff assessment). That amount would provide for salaries and common staff costs for one P-3 position to provide substantive support to the members of the Panel ($127,200); experts' fees ($599,900) and official travel ($467,100) of the five members of the Panel, fees ($117,200) and official travel ($155,400) of one consultant and two translators; official travel of staff ($63,200); and other operational and logistical support requirements, such as the rental of office space, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($79,000).

77. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the fact that the experts and the consultants are now home-based, which leads to the discontinuation of the cost-of-living allowance; to lower travel and operational costs; and to the discontinuation of the position of Administrative Assistant. The variance is also attributable to the discontinuation of a one-time provision for the acquisition of information technology equipment and specialized software required by the Panel for the analysis of complex and large-volume data. This is offset partly by new requirements for travel of the Political Affairs Officer.

78. The anticipated unencumbered balance for 2012 is also attributable mainly to the relocation of the experts, offset partly by new requirements for travel of staff.

Extrabudgetary resources

79. No extrabudgetary resources were available in 2012 or are projected for the Panel of Experts on the Sudan for 2013.

Table 10
Staffing requirements

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Officer	Local level	United Nations Volunteers	Total
Approved 2012	–	–	–	–	–	–	1	–	1	–	1	2	–	–	–	2
Proposed 2013	–	–	–	–	–	–	1	–	1	–	–	1	–	–	–	1
Change	–	–	–	–	–	–	–	–	–	–	(1)	(1)	–	–	–	(1)

80. As the Panel of Experts will be home-based in 2013, it is proposed to abolish the position of Administrative Assistant (General Service (Other level)) located in Addis Ababa, which provided administrative support to the Panel when the experts were based in Addis Ababa.

F. Panel of Experts on the Democratic People's Republic of Korea

($2,754,800)

Background, mandate and objective

81. The Panel of Experts on the Democratic People's Republic of Korea was established pursuant to Security Council resolution 1874 (2009), by which the Council requested the Secretary-General to create for an initial period of one year a group of up to seven experts, acting under the direction of the Security Council Committee established pursuant to resolution 1718 (2006), to carry out the tasks assigned in paragraph 26 of resolution 1874 (2009). The Panel became operational on 14 September 2009 and its mandate was last extended, until 12 July 2013, by resolution 2050 (2012).

82. The seven-member Panel of Experts monitors violations of the measures imposed by the Security Council in resolutions 1718 (2006) and 1874 (2009). According to its mandate, the Panel of Experts shall:

(a) Assist the Security Council Committee in carrying out its mandate as specified in resolution 1718 (2006) and the functions specified in paragraph 25 of resolution 1874 (2009);

(b) Gather, examine and analyse information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures imposed in resolutions 1718 (2006) and 1874 (2009), in particular incidents of non-compliance;

(c) Make recommendations on actions the Council, the Committee or Member States may consider to improve the implementation of the measures imposed by resolutions 1718 (2006) and 1874 (2009);

(d) Provide to the Committee a planned programme of work within 30 days of its reappointment;

(e) Provide to the Committee no later than 12 November 2012 a midterm report on its work and submit it to the Council no later than 12 December 2012, and provide a final report to the Committee no later than 30 days prior to the termination of its mandate with its findings and recommendations and submit it to the Council upon termination of the mandate of the Panel.

83. The Panel has been active in supporting the Committee's outreach, dialogue, assistance and cooperation activities, including by assisting the Committee in drafting informal guidelines for Member States on luxury goods and on the preparation of national implementation reports, as well as by providing specific guidance when requested by Member States. On 5 December 2011, the Committee approved and issued an implementation assistance notice providing guidelines for the implementation of measures regarding luxury goods to assist Member States in carrying out their obligations pursuant to the provisions of Security Council resolutions 1718 (2006) and 1874 (2009). Since the beginning of 2012, the members of the Panel have participated in 16 conferences and seminars where they presented the Security Council measures and invited late-reporting Member States to submit their national implementation reports as soon as possible.

84. The Panel submitted its midterm report to the Committee on 2 November 2011 and, on 2 December 2011, submitted it to the Security Council pursuant to resolution 1985 (2011). The report highlighted the results of more intense and recent investigations into the implementation of sanctions by Member States and the evasion of sanctions by the Democratic People's Republic of Korea and presented several tasks that the Panel planned to undertake in following up its previous recommendations. The Panel provided its final report (S/2012/422) to the Committee on 11 May 2012 and, on 11 June 2012, submitted it to the Security Council. It provided information on the findings, in particular on incidents of non-compliance, made by the Panel during the reporting period and 12 recommendations on actions that the Security Council, the Committee or Member States might consider to improve the implementation of the measures contained in resolutions 1718 (2006) and 1874 (2009).

Cooperation with other entities

85. In the performance of its mandated duties, the Panel of Experts cooperates with and seeks information from Government authorities and diplomatic missions of countries that have potential information about violations of the sanctions regime. Since June 2011, the Panel has interacted with numerous States regarding the implementation of the Council's relevant sanctions measures. In addition to their meetings with representatives of several missions to the United Nations in New York, members of the Panel visited Austria, Australia, Brazil, Canada, the Congo, El Salvador, France, Germany, Greece, Guatemala, Italy, Japan, Mongolia, the Republic of Korea, Switzerland, the United Kingdom and the United States. The Panel also cooperates with bilateral and multilateral agencies, other United Nations bodies and other relevant parties. In 2011 and 2012, the Panel benefited from cooperation with the Association of Southeast Asian Nations Regional Forum, the Council for Security Cooperation in the Asia Pacific, the European Association for Forwarding, Transport, Logistics and Customs Services, the Financial Action Task Force, the International Atomic Energy Agency (IAEA), INTERPOL, the Organization for the Prohibition of Chemical Weapons, UNODC and the World Customs Organization. Reports on those visits were provided to the Committee. The

increasing level of cooperation with and outreach to international and regional organizations is expected to further improve information- sharing. In the future, the Panel may, as relevant, seek to develop further its cooperation with regional and subregional organizations on the implementation of the resolutions.

Performance information

86. The Panel's findings and recommendations, contained in its final report (S/2012/422) submitted to the Security Council on 11 June 2012, serve to assist the Council in taking more informed decisions relating to the sanctions measures by providing it with a fuller picture of the challenges associated with the implementation of the sanctions regime. More specifically, the Panel examined in detail several cases of reported violations of Council resolutions. The 2012 recommendations are more technical and more closely focused than in 2011. The recommendations, should the Council wish to act on them, could contribute to facilitating, and providing guidance to Member States, on the implementation of the relevant Council resolutions, including through the preparation of implementation assistance notices. In total, the Panel made 12 actionable recommendations to the Council, the Committee and Member States aimed at improving the implementation of the sanctions measures imposed by resolutions 1718 (2006) and 1874 (2009). As requested by the Committee, the Panel also produced a set of implementation assistance notices that may be helpful to Member States in improving their national implementation mechanisms.

87. In 2011 and 2012, the Panel of Experts interacted with an increased number of States regarding the implementation of the Council's relevant sanctions measures. Since June 2011, the Panel has travelled to 15 States to conduct investigations concerning alleged violations and/or to discuss issues relating to the implementation of the sanctions regime. Through its investigations and in-depth correspondence and dialogue with States, the Panel assisted States in better understanding and implementing the measures imposed by resolutions 1718 (2006) and 1874 (2009).

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	• The Committee regularly communicated with States on alleged violations. In its official communications, the Committee follows up on initial reports on alleged violations by States and seeks additional information, clarifications and updates. The Committee also provided guidance to States on implementation issues in response to queries and has issued notes verbales, such as its recent implementation assistance notice on luxury goods as well as in the context of additional designations of entities and goods

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
	• In addition to official communication on alleged violations through the Committee, the Panel of Experts complements the Committee's efforts by also liaising with States by way of written correspondence, telecommunications, consultations, visits and inspections of seized cargo. Further, the Panel provided informal advice and guidance to Member States on compliance-related issues, in particular alleged violations
	• The information received from States on alleged violations contributes to the incident reports prepared by the Panel for the Committee's information as well as to the Panel's final report to the Committee and the Security Council
(b) Improved compliance by States with the sanctions measures	• In accordance with the obligations under resolution 1718 (2006) and 1784 (2009), States and entities provide reports and communications on implementation and compliance-related issues. Since July 2011, the Committee has received 15 national implementation reports from States submitting information on measures taken to implement the respective resolutions. Further, the Committee and the Panel of Experts received reports and other communications on specific compliance-related issues, including on alleged violations. Since July 2011, more than 20 official communications have been received
	• In addition, States have also used informal channels of communication to inform of compliance-related issues, in response to outreach efforts by the Committee and the Panel. The Panel has participated in 26 outreach events and has made 22 country visits, upon request, for information-sharing and technical assistance in implementing the relevant measures and for the purpose of furthering the Committee's mandate as set forth in resolutions 1718 (2006) and 1874 (2009)
	• The information received from States and entities on compliance issues contributed to the formulation of implementation assistance notices by the Committee, the incident reports prepared by the Panel for the Committee's information and to the Panel's final report to the Committee and the Security Council
	• The published final reports as well as implementation assistance notices comprise lessons learned, guidance and other information that can assist States in further improving the implementation and compliance with the respective resolutions

Planning assumptions for 2013

88. In 2013, the projected requirements for which are outlined in the present report, the Panel will continue to carry out its mandated activities, in particular by monitoring the implementation of the measures imposed by resolutions 1718 (2006) and 1874 (2009) and 2050 (2012). The Panel will collect information on and

monitor the implementation by States of the measures imposed by the Council, conduct extensive field work and on-site investigations of reported alleged violations and make recommendations thereon. It will continue to submit to the Committee regular reports on its activities. It is also expected to submit to the Council an interim report and a final report on its activities that would include specific recommendations.

89. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To ensure that the Democratic People's Republic of Korea abandons all nuclear weapons and its existing nuclear programme and acts strictly in accordance with the obligations applicable to parties under the Treaty on the Non-Proliferation of Nuclear Weapons and the terms and conditions of the International Atomic Energy Agency Safeguards Agreement

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Panel of Experts *Performance measures* 2011: 11 Estimate 2012: 10 Target 2013: 10

Outputs

- Reports to the Security Council (2)
- Investigation reports relating to instances of inspection, seizure and disposal and other incidents connected with non-compliance reported by Member States to the Committee (10)
- Written recommendations on actions the Council, the Committee and Member States may consider to improve the implementation of sanctions measures (10)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) Number of reports and communications from States and entities informing of compliance-related issues *Performance measures* 2011: 31 Estimate 2012: 25 Target 2013: 15

Outputs

- Country-specific missions (9)
- Outreach events to facilitate the implementation by Member States of relevant resolutions (10)
- Draft implementation assistance notices and other discussion papers containing best practices, guidance or other information that may be used by Member States regarding the implementation of the Council's sanction measures (5)

External factors

90. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Table 11
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	385.5	406.2	(20.7)	406.3	427.0	–	20.8
Operational costs	2 361.3	2 342.9	18.4	2 348.5	2 330.1	–	(12.8)
Total	**2 746.8**	**2 749.1**	**(2.3)**	**2 754.8**	**2 757.1**	**–**	**8.0**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

91. Should the Security Council extend the mandate of the Panel of Experts on the Democratic People's Republic of Korea beyond 11 July 2013 and should the Panel operate for 12 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $2,754,800 (net of staff assessment). That amount would provide for salaries and common staff costs for four positions (2 P-3 and 2 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($406,300); experts' fees ($1,408,300) and official travel ($625,800) of the seven members of the Panel; official travel of staff ($70,000); facilities and infrastructure, including the rental of premises ($163,300); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($81,100).

92. The slight variance between the 2013 requirements and the 2012 appropriation as well as the anticipated overrun for 2012 are attributable mainly to the actual entitlements of the incumbents of the positions being higher than budgeted in 2012. This is offset partly by the average fees of the experts being lower than budgeted in 2012.

Extrabudgetary resources

93. No extrabudgetary resources were available in 2012 or are projected for the Panel of Experts on the Democratic People's Republic of Korea for 2013.

Table 12
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	–	2	–	2	–	2	4	–	–	–	4
Proposed 2013	–	–	–	–	–	–	2	–	2	–	2	4	–	–	–	4
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

94. In 2013, there will be no change in the approved staffing structure of the Panel of Experts on the Democratic People's Republic of Korea.

G. Panel of Experts on the Islamic Republic of Iran

($3,099,800)

Background, mandate and objective

95. The Panel of Experts on the Islamic Republic of Iran was established pursuant to Security Council resolution 1929 (2010), in which the Council requested the Secretary-General to create for an initial period of one year a group of up to eight experts, under the direction of the Security Council Committee established pursuant to resolution 1737 (2006), to carry out the tasks assigned in paragraph 29 of resolution 1929 (2010). On 7 June 2012, the mandate of the Panel was extended by resolution 2049 (2012) until 9 July 2013.

96. The mandate of the Panel of Experts is as follows:

(a) To assist the Security Council Committee in carrying out its mandate as specified in paragraph 18 of resolution 1737 (2006) and paragraph 28 of resolution 1929 (2010);

(b) To gather, examine and analyse information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures decided upon in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010), in particular incidents of non-compliance;

(c) To make recommendations on actions the Council, the Committee or a State may consider to improve the implementation of the relevant measures;

(d) To provide to the Council an interim report on its work no later than 90 days after the Panel's appointment and a final report to the Council no later than 30 days prior to the termination of its mandate with its findings and recommendations.

97. The measures decided upon in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010) include a proliferation-sensitive nuclear and ballistic missile programmes-related embargo; a ban on the export and procurement of any arms and related materiel from the Islamic Republic of Iran and a ban on the supply of seven specified categories of conventional weapons and related materiel to that country; a travel ban and an assets freeze on designated persons and entities; an authorization to seize and dispose of items, the transfer of which to or from the Islamic Republic of Iran is prohibited under the relevant resolutions, that are identified in the cargo inspections undertaken pursuant to resolution 1929 (2010); a ban on the provision of bunkering or other servicing of Iranian vessels under the circumstances specified; and the exercise of vigilance when doing business with entities incorporated in the Islamic Republic of Iran, or subject to its jurisdiction, under the circumstances specified.

Cooperation with other entities

98. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, the Panel of Experts seeks the cooperation and assistance of IAEA and specialized organizations such as IMO and the World Customs Organization. The Panel also cooperates with experts from other United Nations organizations, including the Office for Disarmament Affairs, the United Nations Institute for Disarmament Research, the United Nations Conference on Trade and Development, the Economic Commission for Europe, UNODC and, as appropriate, experts working under other Security Council resolutions, including resolution 1540 (2004), the Monitoring Group on Somalia and Eritrea, the Panel of Experts on the Sudan, the Panel of Experts on the Democratic People's Republic of Korea and the Panel of Experts on Libya. The Panel of Experts on the Islamic Republic of Iran meets representatives from other international organizations to obtain information concerning the implementation of measures under the relevant Security Council resolutions and related issues. The Panel is in contact with experts from governmental and non-governmental think tanks and universities.

Performance information

99. The Panel's major findings and recommendations, contained in its final report, submitted to the Security Council Committee on 9 May 2012 (S/2012/395), may serve to assist the Committee and the Council in taking more informed decisions relating to the sanctions measures. More specifically, the Panel examined in detail several cases of reported violations of Council resolutions, in particular incidents in breach of paragraph 5 of resolution 1747 (2007) on the arms embargo. In addition to conventional arms and related materiel, the Panel also studied at length issues relating to nuclear and ballistic missile activities, export control, shipping and transportation sanctions, and financial and business sanctions. In total, the Panel made 11 recommendations on actions the Council or the Committee may consider to improve the implementation of the relevant measures concerning the Islamic Republic of Iran.

100. During its second mandate from 9 June 2011 to 8 June 2012, the Panel held consultations with 30 Member States and conducted physical inspections in regard to four reported incidents of non-compliance. The Panel, through its outreach campaign targeting a wider United Nations membership, helped to raise the awareness of Member States on their reporting obligations. In a similar vein, the

Panel drafted letters providing advice aimed at helping States better understand the provisions of relevant Security Council resolutions. In carrying out its mandate, the Panel actively sought to broaden its contact with representatives of other international organizations, think tanks and academia to obtain information concerning the implementation of measures decided upon in the relevant Council resolutions.

101. The Panel held a series of outreach meetings with New York-based permanent representatives and missions, and co-organized four outreach seminars, in collaboration with the International Institute for Strategic Studies and financially supported by the Government of the United Kingdom.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	The Committee took action on four reported incidents of non-compliance with Security Council sanctions measures. Acting under the direction of the Committee, the Panel of Experts undertook three physical inspections and one investigation The Panel took further actions to follow up with concerned States on the reported violations in terms of the background and circumstances surrounding the violations. The Panel presented its findings and conclusions on the violations as part of its final report to the Committee on 9 May 2012
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	Acting on the recommendations put forward by the Panel, the Committee on 28 April 2012 decided to designate two individuals and one entity under sanctions and subject to assets freeze and travel ban The Committee further decided to add the sanctioned individuals and entities on its Consolidated List that has been made available to the public on its webpage to facilitate the implementation process The Committee also informed, through a note verbale, the 193 Member States of its designations and urged them to comply with the sanctions measures concerning the designated individuals and entities
(c) Improved compliance by States with the sanctions measures	In its consultations with Member States, the Panel observed a marked increase in awareness regarding sanctions implementation, the need for strengthened export controls, and for vigilance over specific sectors of business activities. Although some States remained without sufficient capacity to fully implement the Security Council sanctions measures, the Panel was encouraged by the high level of commitment among most of its interlocutors to the effective implementation of measures set out in relevant resolutions

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
	As a result of Panel's outreach initiatives, those Member States that were consulted by the Panel have adopted relevant regulations and established national coordination mechanisms aimed at improving their sanctions systems
	Under the direction of the Committee, the Panel has provided technical advice to Member States, the private sector, and humanitarian organizations on ways to better understand and interpret the provisions set out in relevant Security Council resolutions. As at the end of May 2012, a total of six letters/communications have been dispatched to concerned States and parties

Planning assumptions for 2013

102. In 2013, the projected requirements for which are outlined in the present report, the Panel will carry out its mandated activities, in particular by monitoring the implementation of the relevant measures imposed in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Council and is expected to conduct extensive field work and on-site investigation of reported alleged violations and make recommendations thereon. It is also expected to submit, through the Committee, an interim and a final report on its activities to the Security Council that would include specific recommendations. Particular tasks of the Panel will also include those identified in the Committee's programme of work, which was prepared and approved by the Committee pursuant to resolution 1984 (2011). The programme of work covers compliance, investigations, outreach, dialogue, assistance and cooperation.

103. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To enforce the relevant measures contained in Security Council resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010) pertaining to the Islamic Republic of Iran

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Committee to States on alleged violations cited by the Panel
	Performance measures
	2011: 9
	Estimate 2012: 6
	Target 2013: 8

	(ii) Number of bilateral meetings between the Chair of the Committee and concerned States to follow up on the Panel's reports *Performance measures* 2011: 6 Estimate 2012: 6 Target 2013: 7

Outputs

- Inspection reports to the Committee on the violation or implementation of the Council's sanctions measures (6)
- Ninety-day reports to the Security Council (4)
- Briefings to Member States on implementation of the Council's sanctions measures (2)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Panel agreed upon by the Committee *Performance measures* 2011: 20 Estimate 2012: 20 Target 2013: 22 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 5 Estimate 2012: 5 Target 2013: 5 (iii) Number of amendments to entries on the sanctions lists *Performance measures* 2011: 8 Estimate 2012: 6 Target 2013: 8

Outputs

- Written recommendations provided to the Committee on actions the Council or the Committee may consider to improve the implementation of the Council's sanctions measures (30)
- Implementation assistance notices provided to the Committee on how States might improve the implementation of the Council's sanctions measures (20)
- Assessments of national implementation reports of States (4)
- Reports to the Security Council through the Committee (2)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2011: 11 Estimate 2012: 11 Target 2013: 14 (ii) Number of laws or decrees adopted by States to implement sanctions measures *Performance measures* 2011: 64 Estimate 2012: 64 Target 2013: 70 (iii) Number of communications from States seeking advice from the Committee and the Panel on ways to improve compliance *Performance measures* 2011: 7 Estimate 2012: 7 Target 2013: 12

Outputs

- Consultations with States on implementation of the Council's sanctions measures (37)
- Regional outreach seminars on how well States have implemented the Council's sanctions measures (4)
- Technical guidance letters to States on ways to improve implementation of the Council's sanctions measures (6)

External factors

104. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Table 13
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	475.2	489.8	(14.6)	429.5	444.1	–	(45.7)
Operational costs	2 718.4	2 662.6	55.8	2 670.3	2 614.5	–	(48.1)
Total	**3 193.6**	**3 152.4**	**41.2**	**3 099.8**	**3 058.6**	**–**	**(93.8)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

105. Should the Security Council extend the mandate of the Panel of Experts on the Islamic Republic of Iran beyond 8 July 2013 and should the Panel operate for 12 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $3,099,800 (net of staff assessment). That amount would provide for salaries and common staff costs for four positions (1 P-4, 1 P-3 and 2 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($429,500); experts' fees ($1,638,600) and official travel ($700,900) of the eight members of the Panel; official travel of staff ($105,700); facilities and infrastructure, including the rental of premises ($177,400); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($47,700).

106. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the actual entitlements of the general service staff being lower than budgeted in 2012 and to the average fees of the experts being lower than budgeted in 2012.

107. The anticipated unencumbered balance for 2012 is attributable mainly to the average fees of the experts being lower than budgeted.

Extrabudgetary resources

108. No extrabudgetary resources were available in 2012 or are projected for the Panel of Experts on the Islamic Republic of Iran for 2013.

Table 14
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	1	1	–	**2**	–	2	**4**	–	–	–	**4**
Proposed 2013	–	–	–	–	–	1	1	–	**2**	–	2	**4**	–	–	–	**4**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

109. In 2013, there will be no change in the approved staffing structure of the Panel of Experts on the Islamic Republic of Iran.

H. Panel of Experts on Libya

($1,456,800)

Background, mandate and objective

110. The Panel of Experts on Libya was established pursuant to Security Council resolution 1973 (2011) of 17 March 2011, in which the Council requested the Secretary-General to create, for an initial period of one year, in consultation with the Security Council Committee established pursuant to resolution 1970 (2011), a group of up to eight experts, under the direction of the Committee. The mandate of the Panel was extended on 12 March 2012 for a period of 12 months with the adoption of Security Council resolution 2040 (2012) and the number of experts was reduced to a maximum of five.

111. The mandate of the Panel of Experts is as follows:

(a) To assist the Committee in carrying out its mandate as specified in paragraph 24 of resolution 1970 (2011);

(b) To gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the implementation of the measures decided upon in resolutions 1970 (2011), 1973 (2011) and 2009 (2011), in particular incidents of non-compliance;

(c) To make recommendations on actions the Council, the Committee, the Libyan authorities or other States may consider to improve implementation of the relevant measures;

(d) To provide to the Council an interim report on its work no later than 90 days after the Panel's appointment and a final report to the Council no later than 30 days prior to the termination of its mandate with its findings and recommendations.

112. The measures decided upon in resolutions 1970 (2011) and 1973 (2011), and as updated in resolutions 2009 (2011) and 2040 (2012), include an arms embargo, which encompasses armed mercenary personnel and for the enforcement of which

the Council authorized cargo inspections under specific circumstances; a travel ban; an assets freeze; and a requirement to exercise vigilance when doing business with Libyan entities, in the event that such business could contribute to violence and the use of force against civilians.

Cooperation with other entities

113. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, the Panel of Experts on Libya seeks the cooperation and assistance of regional and military organizations, such as the League of Arab States, the African Union and NATO. In that context, since July 2011, the Panel has sent a total of 158 letters to Member States and regional and military organizations. Those letters requested, among other things, information relevant to the Panel's investigations as well as the facilitation of country visits aimed at gathering additional relevant information.

114. Furthermore, the Panel will continue to seek the cooperation of and benefit from the support of the United Nations Support Mission in Libya (UNSMIL). To date, the Panel has made eight visits to Libya; six of those visits took place after the establishment of UNSMIL and with its logistical support provided free of charge.

Performance information

115. The Panel submitted an interim report on 10 August 2011. It also submitted a progress report on 8 December 2011. In 2012, the Panel submitted a working document to the Committee which, after the Committee's review and revision, was published as an official document (S/2012/178). The Panel submitted its final report pursuant to resolution 1973 (2011) on 17 February 2012 (S/2012/163). Most recently, the Panel submitted its interim report under resolution 2040 (2012) on 19 July 2012.

116. The Panel's findings and recommendations have assisted the Security Council and its Committee to gain a more comprehensive picture of arms and related materiel coming into, and out of, Libya, and to provide guidance to Member States on the proper application of the arms embargo measure. The findings have also assisted in shedding more light on the implementation, and impact, of the travel ban and assets freeze, thereby allowing the fine-tuning of designations made under those measures. For example, in connection with the arms embargo and based on the Panel's recommendations, the Committee approved an implementation assistance notice that provides guidance to all Member States on what types of information should be submitted in seeking an exemption from the arms embargo in order to provide security or disarmament assistance to the Libyan authorities. Concerning the travel ban and assets freeze, based on information provided by the Panel of Experts, the Committee has updated and provided additional details on the existing entries contained in its list of individuals and entities subject to the measures.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	• In 2011, in its interim report dated 10 August, the Panel made 11 recommendations, of which 4 related to the assets freeze, 6 related to the arms embargo and 1 related to a procedural matter concerning communication with the Committee. A progress report dated 8 December contained one recommendation concerning the asset freeze • In 2012, the Panel submitted to the Committee a working document that assessed the threats and challenges posed by the proliferation of all arms and related materiel from Libya in the region, and contained proposals to counter the threat and to prevent proliferation. The members of the Committee reviewed and revised that document, as appropriate, and then conveyed it to the Security Council (S/2012/178) • Also in 2012, the Panel submitted its final report to the Security Council (S/2012/196), containing 21 recommendations, of which 13 related to the arms embargo, 6 related to the asset freeze, 1 related to the travel ban, and 1 related to the updating of the existing entries on the list of individuals and entities subject to the targeted measures
(b) Improved compliance by States with the sanctions measures	• In 2011, the Panel received 17 communications from Member States in response to its letters on compliance-related issues • Also in 2011, the Committee or the Panel received 20 communications seeking advice on ways to improve compliance. The Panel provided its input, as appropriate • In 2012, thus far the Panel has received 19 communications from Member States in responses to its letters on compliance-related issues • Also in 2012, thus far the Committee or the Panel has received six communications seeking advice on ways to improve compliance. The Panel provided its input, as appropriate

Planning assumptions for 2013

117. In 2013, the projected requirements for which are outlined in the present report, the Panel will carry out its mandated activities, in particular by monitoring the implementation of the relevant measures specified in resolutions 1970 (2011) and 1973 (2011), as updated in resolutions 2009 (2011) and 2040 (2012). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Security Council. The Panel will continue to conduct extensive field work and on-site investigation of reported alleged violations and make appropriate recommendations. The Panel will submit an interim report and a final report on its activities to the Council that will include specific recommendations.

118. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To enforce the relevant measures contained in Security Council resolutions 1970 (2011) and 1973 (2011), as updated in resolutions 2009 (2011) and 2040 (2012), pertaining to Libya

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	(a) (i) Number of recommendations made by the Panel agreed upon by the Committee *Performance measures* 2011: 1 Estimate 2012: 5 Target 2013: 8 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 1 Estimate 2012: 2 Target 2013: 3

Outputs

- Reports to the Security Council (3)
- Recommendations concerning new individuals or entities to be listed or updates to the existing sanctions list (3)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2011: 17 Estimate 2012: 25 Target 2013: 30

(ii) Number of communications from States seeking advice from the Committee and the Panel on ways to improve compliance

Performance measures

2011: 20

Estimate 2012: 15

Target 2013: 10

Outputs

- Written communications to States and entities enquiring about compliance-related issues (30)
- Written inputs to the Committee on ways to improve compliance (20)

External factors

119. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Table 15
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	235.5	175.7	59.8	165.4	105.6	–	(70.1)
Operational costs	2 361.5	1 317.4	1 044.1	1 291.4	247.3	–	(1 070.1)
Total	**2 597.0**	**1 493.1**	**1 103.9**	**1 456.8**	**352.9**	–	**(1 140.2)**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

120. Should the Security Council extend the mandate of the Panel of Experts beyond 16 March 2013 and should the Panel operate for 11 months in 2013 as it has in the past, the estimated requirements for 2013 would amount to $1,456,800 (net of staff assessment). That amount would provide for salaries and common staff costs for two positions (1 P-3 and 1 General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($165,400); experts' fees ($505,500) and official travel ($643,000) of the five members of the Panel; official travel of staff ($65,300); and other operational and logistical support requirements, such as the rental of office space, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($77,600).

121. The variance between the 2013 requirements and the 2012 appropriation as well as the anticipated unencumbered balance for 2012 are attributable mainly to the reduction of the number of experts, by Security Council resolution 2040 (2012), from eight to five experts, which leads to reduced requirements and reduced expected expenditures under fees, travel of experts and staff and local transportation; to a shorter period of work from 12 months budgeted to 11 months actually worked in 2012 owing to a delay in the appointment of the experts following the renewal of the mandate in March 2012; and to the actual entitlements of the staff being lower than the standard salary rates used in 2012.

Extrabudgetary resources

122. No extrabudgetary resources were available in 2012 or are projected for the Panel of Experts on Libya for 2013.

Table 16
Staffing requirements

	Professional and higher categories									*General Service and related categories*		*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	–	–	1	–	1	–	1	2	–	–	–	2
Proposed 2013	–	–	–	–	–	–	1	–	1	–	1	2	–	–	–	2
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

123. In 2013, there will be no change in the approved staffing structure of the Panel of Experts on Libya.

I. Analytical Support and Sanctions Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities

($4,388,100)

Background, mandate and objective

124. The Analytical Support and Sanctions Monitoring Team was established on 15 March 2004 by the Security Council in resolution 1526 (2004) as a successor arrangement to the Monitoring Group established by resolution 1363 (2001). The Monitoring Team, composed of eight experts based in New York, assists the Security Council Committee established pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities in the fulfilment of its mandate. As at 17 June 2011, the Monitoring Team also assists the Security Council Committee established pursuant to resolution 1988 (2011). This reflects the decision by the Security Council to split the Al-Qaida and the Taliban sanctions regime into two separate components in order to reflect the evolution of the situation in Afghanistan.

125. The two Committees are now tasked with overseeing the implementation by States of the arms embargo, travel ban and assets freeze imposed with respect to members of Al-Qaida and associated individuals and entities (the Al-Qaida Sanctions Committee), and sanctions imposed with respect to individuals and entities associated with the Taliban in constituting a threat to the peace, stability and security of Afghanistan (the 1988 Sanctions Committee).

126. Since its establishment, the mandates and responsibilities of the Monitoring Team have increased and grown progressively more complex. They now include assisting the Sanctions Committees in making accessible on their website narrative summaries of the reasons for the listing of all names on the relevant sanctions lists (currently about 455 names); in regularly reviewing the names on the lists; and in preparing updates to list entries on the basis of those reviews. In addition, the Security Council directed the Monitoring Team to assist the Ombudsperson in carrying out her functions. With the adoption of resolutions 1988 (2011) and 1989 (2011), the Monitoring Team was asked to submit to the Committees four comprehensive independent reports on implementation of the sanctions measures, including specific recommendations, and an additional written report and recommendations on linkages between those individuals and entities eligible for designation under paragraph 1 of resolution 1988 (2011) and Al-Qaida, with a particular focus on entries that appear on both the Al-Qaida Sanctions List and the List maintained by the 1988 Sanctions Committee.

127. To support the Committees and with a view to improving the implementation of the measures set out in resolutions 1989 (2011) and 1988 (2011), the Security Council, in paragraph 56 of resolution 1989 (2011), extended the mandate of the Monitoring Team until 31 December 2012. The Council set out the responsibilities of the Team in the annexes to resolutions 1988 (2011) and 1989 (2011), which include: to present to the Committees additional identifying and other information; to assist the Committees in their efforts to keep the lists as up-to-date and accurate as possible; to assist the Committees in their consideration of proposals for listing and delisting; to assist the Committees in regularly reviewing names on the relevant sanctions lists; to consult with Member States' intelligence and security services, including through regional forums, in order to facilitate the sharing of information and to strengthen enforcement of the measures; to work with relevant international and regional organizations in order to promote awareness of and compliance with the measures; and to assist the Committees with analysis of non-compliance.

128. In 2011, the Team visited 20 Member States (including two joint visits with members of other counter-terrorism bodies) and participated in 40 international and regional meetings, seminars, conferences, workshops and trainings. By the end of June 2012, the Team had visited a further 10 Member States (including four joint visits with members of other counter-terrorism bodies) and participated in 19 international and regional meetings, seminars, conferences, workshops and trainings in order to promote understanding of the Al-Qaida and 1988 sanctions regimes and improve their implementation. The Team continued to profit from complementarities and synergies with other United Nations bodies.

129. On 30 March 2012, the Monitoring Team submitted to the Al-Qaida Sanctions Committee its twelfth comprehensive report and to the 1988 Sanctions Committee its first comprehensive report, as mandated by the Security Council. The reports contain an update on the developments in the sanctions regimes and a set of specific

recommendations on how the Committees can best achieve the purpose of the sanctions measures. During 2011 and 2012, the Monitoring Team also submitted to the Al-Qaida Sanctions Committee, as mandated in Security Council resolution 1989 (2011) two reports on individuals on the Al-Qaida Sanctions List who are reportedly deceased; two reports on individuals and entities on the Al-Qaida Sanctions List whose entries lack identifiers; a report on all names in the Al-Qaida Sanctions List that have not been reviewed in three or more years (triennial review); two reports on improving identifying information on the Al-Qaida Sanctions List; a report on improving the procedures for granting exemptions pursuant to resolution 1452 (2002); and a report concerning past and current links between Al-Qaida and the Taliban (submitted to both Committees).

130. During the same period, the Monitoring Team submitted to the 1988 Sanctions Committee, as mandated by Security Council resolution 1988 (2011), a report on individuals on the 1988 Sanctions List considered to be reconciled by the Government of Afghanistan; a report on individuals on the 1988 Sanctions List who are reportedly deceased and entities that are reported or confirmed to have ceased to exist; and a report on individuals and entities on the 1988 Sanctions List whose entries lack identifiers. It also submitted to both Committees two tables with the recommendations contained in the twelfth report to the Al-Qaida Sanctions Committee and in the first report to the 1988 Sanctions Committee.

131. In paragraph 20 of resolution 1904 (2009), the Security Council decided to establish the Office of the Ombudsperson to assist the Security Council Committee established pursuant to resolution 1267 (1999) when it considers requests from individuals and entities seeking removal from the list of sanctioned individuals and entities. The Council requested the Secretary-General, in close consultation with the Committee, to appoint an eminent individual of high moral character, impartiality and integrity, with high qualifications and experience in relevant fields, such as legal, human rights, counter-terrorism and sanctions, to be Ombudsperson.

132. The Office of the Ombudsperson provides an independent mechanism through which a listed person or entity can seek delisting. The Ombudsperson follows a process involving information-gathering, dialogue with the petitioner and. ultimately, the preparation of a comprehensive report to be presented to the Committee. The mandate of the Ombudsperson is framed to provide for enhanced due process in accordance with the fundamental principles set out by the Secretary-General, including a mechanism for independent review of the basis for the listing. An acceptance by national and regional courts that the Ombudsperson addresses the due process principles could reduce the number and intensity of challenges to the sanctions regime and could help to convince States that full participation in the regime will not be at the expense of fundamental rights. The Office of the Ombudsperson was strengthened as a result of the adoption of Security Council resolution 1989 (2011), which directs the Ombudsperson to submit recommendations on delisting petitions received and envisions the delisting of individuals recommended by the Ombudsperson, unless the Al-Qaida Sanctions Committee decides by consensus to retain the listing or seeks a decision to retain the listing from the Council.

133. The functions and tasks of the Ombudsperson are set out in annex II to Security Council resolution 1989 (2011), which describes the process for the consideration of delisting requests by means of distinct information-gathering,

dialogue and Committee discussion/decision phases, and which also includes additional tasks relating to public outreach, notifying listed individuals and general reporting to the Council.

Cooperation with other entities

134. Within the United Nations system, the Team interacts closely with the United Nations Assistance Mission in Afghanistan (UNAMA), the Counter-Terrorism Committee, the Counter-Terrorism Committee Executive Directorate and the group of experts that supports the Security Council Committee established pursuant to resolution 1540 (2004). Both in New York and during joint technical missions, the Monitoring Team experts have continued to coordinate their work and share information with the experts of the Counter-Terrorism and 1540 Committees in order to further identify complementarities and synergies and avoid duplication, while taking full advantage of opportunities to maximize access to key Government officials in relevant States. The three expert groups regularly exchange information, in particular on relevant contacts and focal points. In January and February 2012, for example, the Monitoring Team participated in a joint country visit with the Counter-Terrorism Executive Directorate to Mozambique, Botswana and Zambia, and in April 2012 it participated in another joint country visit with the Counter-Terrorism Executive Directorate to Kyrgyzstan.

135. The three expert groups have continued efforts to cooperate on outreach activities and country visits within their respective mandates. For example, the Counter-Terrorism Executive Directorate represented the Monitoring Team at the Financial Action Task Force Effectiveness Sub-Group in Singapore in April 2012. The Counter-Terrorism Executive Directorate also conveys to Governments, on behalf of the Monitoring Team, requests to submit information and responses to the Al-Qaida and the 1988 Sanctions Committees. The Monitoring Team and the other two expert groups also continue to contribute to and coordinate their work within the framework of the Counter-Terrorism Implementation Task Force.

136. In 2010 and 2011, the Monitoring Team continued its contacts and cooperation with other expert panels, in particular the Monitoring Group on Somalia and Eritrea. The work of the Monitoring Team continued to benefit from cooperative arrangements with INTERPOL. The Team also continued to heighten the level of cooperation and improve information-sharing with other international and regional organizations. Currently, the Team maintains formal contacts with 23 international and regional organizations, such as the Terrorism Prevention Branch of UNODC, INTERPOL, the Action Against Terrorism Unit of the Organization for Security and Cooperation in Europe (OSCE), the African Union, the Organization of American States (OAS) Inter-American Committee against Terrorism, the Financial Action Task Force and its regional bodies and the Organization of Islamic Cooperation. The Monitoring Team also regularly convenes regional meetings with intelligence and security agencies.

137. The Ombudsperson interacts with a wide range of entities in relation to her mandate. In addition to interacting with petitioners seeking delisting, the relevant States (designating States, States of nationality and/or residence) and the Monitoring Team, the Ombudsperson interacts with United Nations officials whose official functions could bring them into contact with listed individuals and entities. Thus, the Ombudsperson has had interactions with officials of UNAMA, UNPOS and the

Monitoring Group on Somalia and Eritrea. She has also interacted with other entities that have a strong professional interest in her mandate and work, including the International Committee of the Red Cross, the Office of the United Nations High Commissioner for Human Rights (OHCHR) and relevant special rapporteurs, the legal advisers of Member States, Government officials, members of the judiciary and parliamentarians, in particular from those States or regions where the Council's relevant sanctions measures have been challenged in courts of law.

Performance information

138. In 2011, the Monitoring Team interacted with an increased number of States regarding the implementation of the sanctions measures of the Al-Qaida and the 1988 Sanctions Committees. As a result of these interactions, those States indicated that they would take specific action to enhance their implementation of the sanctions regime, and they have had the opportunity to express their views to the Al-Qaida and the 1988 Sanctions Committees through the Monitoring Team, on the effectiveness of the measures.

139. Since January 2011, as mandated under resolutions 1988 (2011) and 1989 (2011) and other relevant resolutions, the Monitoring Team has completed the narrative summaries of reasons for the listing of more than 30 individuals and entities. The Monitoring Team has also assisted the Al-Qaida and the 1988 Sanctions Committees in the reviews of the sanctions lists as mandated by the above-mentioned resolutions. This has contributed to the credibility of the lists and assisted Member States in implementing the sanctions measures effectively. In 2011 and 2012, the Monitoring Team assisted the Al-Qaida and the 1988 Sanctions Committees in the review of those individuals on the sanctions lists who are confirmed to have died or are reportedly deceased; the review of those entities that are confirmed or reported to be have ceased to exist; and the review of entries in the lists lacking identifiers. This has resulted in the removal of 19 deceased persons from the sanctions lists and the identification of 34 names of possibly deceased persons to be brought to the Al-Qaida Committees' consideration in the next review. In addition, under resolution 1989 (2011), the Team has collated information on, identified and submitted to the Al-Qaida Committee for review listed entities that are possibly defunct.

140. In 2011 and 2012, the Monitoring Team presented in its reports numerous actionable recommendations relevant to the Al-Qaida and 1988 Sanctions Committees, the Security Council or Member States. Several of its most significant recommendations to the Council are reflected in resolutions 1988 (2011) and 1989 (2011), including separating the sanctions regime. In addition, the Team has contributed many improvements to the documents posted on the Committees' website.

141. The Monitoring Team has continued to play an active role in the Counter-Terrorism Implementation Task Force, both within the working groups and in the context of individual projects. The Working Group on Countering the Use of the Internet for Terrorist Purposes, which the Monitoring Team co-chairs, has completed the initial cycle of its work on the legal, technical and counter- narrative aspects of countering the terrorist use of the Internet. The Monitoring Team continued to play a central role in the Counter-Terrorism Implementation Task Force efforts on countering the appeal of terrorism, within the framework of the newly established

Working Group on Dialogue, Understanding and Countering the Appeal of Terrorism. The Team's work with the Counter-Terrorism Implementation Task Force promoted the United Nations as a key partner across a range of counter-terrorist activity.

142. In 2011, the Ombudsperson received 13 delisting petitions and 7 delisting petitions in 2012. Each of these cases involved an information-gathering process that required interaction and follow-up with various States. Independent research has also been conducted and, in some cases, other sources of information have been pursued. The process has involved a dialogue with the petitioners. The method of the dialogue has varied depending on the facts of the case and has included in-person discussions and the submission of questions and responses by e-mail or letter. In several cases, it was necessary to translate questions and answers into and from a language that the petitioner understands, including languages other than the six official languages of the United Nations.

143. In accordance with annex II to resolution 1989 (2011), each petition requires in-depth analysis of the information gathered, and the preparation and presentation of a comprehensive report to the Committee. Also in accordance with the mandate, the Ombudsperson submitted two reports to the Security Council on the activities of the Office and has fulfilled other requirements, such as sending notification letters to newly listed persons and entities.

144. The Ombudsperson has also taken steps to publicize her Office and to make it accessible to potential petitioners and to the public generally. This has included the development of a website and of handout material for distribution and notification letters to listed individuals with known address particulars. A number of policy documents have also been drawn up to ensure transparency and consistency of approach, including guidelines for the submission of delisting applications, information on the procedures for handling delisting requests, as well as an outline of the approach and standards to be applied by the Ombudsperson in assessing delisting petitions. The Ombudsperson commenced discussions with several States with regard to arrangements or agreements that would allow for the sharing of classified/confidential information with the Ombudsperson. Two such arrangements have been put in place thus far. The Ombudsperson also delivered presentations at various international and regional forums and met with domestic, regional and international judges and other officials involved in work of relevance to the mandate of her Office. For the development of the policy documents and the preparation of presentations, extensive legal research was conducted.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Improved compliance by States with the sanctions most recently reiterated by the Security Council in resolutions 1988 (2011) and 1989 (2011)	• The Monitoring Team continued its outreach and visits to member States during 2011 and 2012, as mandated by the Security Council. It visited 20 member States in 2011 and, by the end of June 2012, it visited 10 others. Many of the States visited have indicated they would take specific action to enhance their implementation of the sanctions, for example, among other measures, by adopting or upgrading legislation or enhancing the distribution of updated sanctions lists among border control posts and financial institutions. Member States were also informed by the Monitoring Team of specific international assistance available to them in order to improve their capacity for compliance with the sanctions. In 2011 and 2012, the Monitoring Team participated, together with INTERPOL, in three regional training seminaries for police and security forces (in Kuala Lumpur, Buenos Aires and Rome) on the implementation of the sanctions
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	• During 2011 and 2012, the Monitoring Team has continued to provide advice and recommendations to the Sanctions Committees on enhancing the sanctions regimes, through its reports, written communications and through participation in the Committees' meetings. The Security Council, during 2011, agreed with 14 of the recommendations contained in the eleventh report of the Monitoring Team, which were adopted in resolutions 1988 (2011) and 1989 (2011). In that report, for example, the Monitoring Team made suggestions on how the Committee could use the list to promote Afghan stability and, without compromising the authority of the Committee, find ways to increase the involvement of the Government of Afghanistan in listing and delisting decisions. On 30 March 2012, the Monitoring Team submitted its twelfth report to the Al-Qaida Sanctions Committee and its first report to the 1988 Sanctions Committee, which contain further recommendations on how the Security Council could improve the sanctions regime
(c) Improved fairness and transparency of the delisting process of the Al-Qaida Sanctions Committee	• The Ombudsperson travelled to six States (Algeria, France, Ireland, Italy, Saudi Arabia and the United Kingdom) to conduct personal interviews with 10 separate delisting petitioners • Continued updating of activities to the Security Council in the biannual reports of the Ombudsperson in July 2011 and January 2012
(d) Improved recourse by listed individuals and entities to an independent and impartial review of their listing	• To date in 2012, eight new requests have been received by the Office, 10 comprehensive reports have been submitted and 10 presentations have been made to the Committee

Planning assumptions for 2013

145. In 2013, the projected requirements for which are outlined in the present report, the Monitoring Team will continue to carry out its mandated activities and will also continue to develop its contacts with Member States, in particular with officials most concerned with countering the threat posed by Al Qaida, in order to provide the Security Council, through the Al-Qaida Sanctions Committee, with current information on the changing nature of the threat. The Monitoring Team will also continue to work closely with UNAMA to maximize the contribution of the 1988 sanctions regime to the promotion of peace and stability in Afghanistan and in neighbouring countries. The Monitoring Team will continue to contribute to the implementation of the United Nations Global Counter-Terrorism Strategy through the Secretary General's Counter-Terrorism Implementation Task Force.

146. It is anticipated that the number of delisting petitions presented will increase as the work of the Ombudsperson becomes known and the process more established. The work involved will continue to be labour-intensive, with each petition requiring follow-up with States and the petitioner, independent research and the preparation of detailed reports. Effective dialogue with the petitioner will, in some cases, require the translation of outgoing and incoming communications, and in a few instances the assistance of an interpreter may be required. The Ombudsperson will also continue to fulfil the additional responsibilities of the Office, including sending notifications, where possible, to newly listed individuals and entities. The Ombudsperson will continue to take steps to publicize the existence of the Office, especially to those individuals or entities that might want to present a delisting petition. Extensive work will be necessary to put in place agreements and arrangements with respect to the disclosure of confidential information.

147. The objective, expected accomplishments and indicators of achievement of the Monitoring Team are set out below.

Objective: To prevent terrorist activities perpetrated by individuals or entities belonging to or associated with Al-Qaida and the Taliban

Expected accomplishments	Indicators of achievement
(a) Improved compliance by States with the sanctions most recently reiterated by the Security Council in resolutions 1988 (2011) and 1989 (2011)	(a) Number of communications from States describing implementation of the sanctions measures or seeking advice on how to comply with the measures *Performance measures* 2011: 140 Estimate 2012: 130 Target 2013: 130

Outputs

- Initiatives reflecting broader engagement of international, regional and subregional organizations with the work of the relevant Committees (5)
- Updated information package for Member States (2)
- Regional meetings for security and intelligence services (2)
- Updated comparative tables on the work of the Committees (2)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Team agreed upon by the Committees *Performance measures* 2011: 14 Estimate 2012: 30 Target 2013: 30 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2011: 13 Estimate 2012: 15 Target 2013: 15 (iii) Number of amendments to entries on the sanctions lists *Performance measures* 2011: 334 Estimate 2012: 150 Target 2013: 150

Outputs

- Reports to the Sanctions Committees (6)
- Recommendations to the Committees and to the Security Council to improve the sanctions regime (30)
- Proposals for amendments to the targeted sanctions lists (100)
- Report on possible cases of non-compliance (1)
- Updated papers on improving the efficacy of the sanctions measures (2)
- Proposals for revision of the Committees' guidelines regarding the conduct of their work (10)

- Proposals for revision of the documents on the Committees' website (15)
- New standard forms for listing submissions, and explanatory notes (2)
- New format for the targeted sanctions lists (2)
- Narrative summaries of reasons for listing names on relevant sanctions lists (30)
- Presentations to the relevant Committees for the review of names on the lists (100)

Expected accomplishments	Indicators of achievement
(c) Improved fairness and transparency of the de listing process of the Al-Qaida Sanctions Committee	(c) (i) Number of communications from States and relevant bodies enabling the Ombudsperson to tell petitioners what the case is against them *Performance measures* 2011: 215 Estimate 2012: 275 Target 2013: 300 (ii) Number of cases of listed individuals and entities under review providing petitioners with the possibility of answering the case against them *Performance measures* 2011: 14 Estimate 2012: 16 Target 2013: 20

Outputs

- Letters to States and relevant bodies seeking in-depth information on delisting petitions received (100)
- Reports to the Security Council (2)
- Communications to petitioners and listed persons and entities (81)

Expected accomplishments	Indicators of achievement
(d) Improved recourse by listed individuals and entities to an independent and impartial review of their listing	(d) Number of enhanced delisting requests presented to the Committees that include the analysis and observations of the Ombudsperson *Performance measures* 2011: 8 Estimate 2012: 20 Target 2013: 24

Outputs

- Comprehensive case reports in relation to delisting petitions (24)
- Updated information regarding individuals and entities that have submitted delisting requests through the Ombudsperson (10)

External factors

148. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Monitoring Team and the Ombudsperson and provided that the gathering of relevant information and its analysis are not hindered.

Table 17
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
	Appropriation	*Estimated expenditure*	*Variance under- (over-) expenditure*	*Total*	*Net*[a]	*Non-recurrent*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)=(4)-(3)*	*(6)*	*(7)=(4)-(1)*
Civilian personnel costs	1 325.2	1 490.3	(165.1)	1 436.2	1 601.3	–	111.0
Operational costs	2 938.6	2 909.0	29.6	2 951.9	2 922.3	–	13.3
Total	**4 263.8**	**4 399.3**	**(135.5)**	**4 388.1**	**4 523.6**	**–**	**124.3**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

149. The mandates of the Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities and of the Office of the Ombudsperson have been extended until 31 December 2012. If the mandate is extended beyond that date, the estimated requirements for 2013 would amount to $4,388,100 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of 12 positions to provide substantive and administrative support to the members of the Monitoring Team and to the Office of the Ombudsperson ($1,397,500); general temporary assistance ($38,700); experts' fees ($1,718,400) and official travel ($644,800) of the eight members of the Team and of the Ombudsperson; official travel of the Committee and staff ($142,800); the rental of office space and office equipment and maintenance ($307,100); communications ($18,700); information technology equipment and maintenance ($89,200); and other supplies and services ($30,900).

150. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the delayed effect of the creation of two positions in 2012 which were budgeted with a 50 per cent vacancy rate and to the actual entitlements of the incumbents of the positions being higher than budgeted in 2012.

151. The anticipated overrun for 2012 is attributable mainly to the actual entitlements of the incumbents of the positions being higher than budgeted and to a lower vacancy rate than budgeted. This is offset partly by the actual fees of the experts being lower than budgeted.

Extrabudgetary resources

152. No extrabudgetary resources were available in 2012 or are projected for the Analytical Support and Sanctions Monitoring Team for 2013.

Table 18
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	1	2	3	–	**6**	–	6	**12**	–	–	–	**12**
Proposed 2013	–	–	–	–	1	2	3	–	**6**	–	6	**12**	–	–	–	**12**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

153. In 2013, there will be no change in the approved staffing structure of the Monitoring Team.

J. Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction

($3,190,800)

Background, mandate and objective

154. By its resolution 1540 (2004), the Security Council, acting under Chapter VII of the Charter of the United Nations, decided that all States should refrain from providing any form of support to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapons and their means of delivery. In addition, all States, in accordance with their national procedures, are requested to adopt and enforce appropriate effective laws that prohibit any non-State actor from engaging in such activities, in particular for terrorist purposes, and to take and enforce effective measures to establish domestic controls to prevent the proliferation of nuclear, chemical or biological weapons and their means of delivery, including by establishing appropriate controls over related materials.

155. The Security Council established a Committee, consisting of all members of the Council, to report to it on the implementation of the resolution. In accordance with resolution 1540 (2004), the Committee was provided with the assistance of experts. The Security Council extended the mandate of the Committee, with the continued assistance of experts, in 2006 (resolution 1673) and in 2008 (resolution 1810).

156. By resolution 1977 (2011), the Security Council extended the mandate of the Committee until 25 April 2021. In paragraph 5(a) of the resolution, the Council requested the Secretary-General to establish, in consultation with the Committee, a group of up to eight experts ("group of experts"), acting under the direction and purview of the Committee, composed of individuals with the appropriate experience and knowledge to provide the Committee with expertise, to assist the Committee in carrying out its mandate.

157. On 29 June 2012, the Security Council adopted resolution 2055, emphasizing the Committee's significant increased workload over the course of its mandate and requesting the Secretary-General to increase the size of the group of experts referred to in paragraph 5 (a) of resolution 1977 (2011) to up to nine experts.

158. In its resolution 1977 (2011), the Security Council acknowledged the progress made by States in implementing resolution 1540 (2004), endorsed the work carried out by the 1540 Committee and outlined new and expanded mandates of the Committee focusing on practical implementation aspects. Through the same resolution, the Committee was tasked to intensify its efforts to promote the full implementation of resolution 1540 (2004), to continue to engage actively with States and relevant international, regional and subregional organizations to promote the sharing of experience, lessons learned and effective practices, in the areas covered by the resolution, and to engage in dialogue with States on its implementation, including through visits to States at their invitation. The Committee is also requested to strengthen its role in facilitating technical assistance to Member States in the implementation of resolution 1540 (2004), in particular by engaging actively in matching offers and requests for assistance through such means as visits to States, assistance templates, action plans or other information submitted to it. In its transparency and outreach activities, the Committee is tasked to continue to organize and participate in events on the implementation of resolution 1540 (2004) at the international, regional, subregional, and, as appropriate, national levels, and to promote the refinement of these outreach efforts to focus on specific thematic and regional issues related to its implementation. The Committee will also continue to institute transparency measures and activities, including by making the fullest possible use of the Committee's website.

159. As noted in its 2011 annual review of the implementation of resolution 1540 (2004), the Committee continued to document an upward trend in progress made by States in implementing that resolution. This trend continues through 2012. The number of country visits and country-specific activities has increased, and a growing number of States are working on national implementation action plans and/or submitting requests for assistance to the Committee. Additionally, regional cooperation has increased as a result of the regional workshops on the implementation of resolution 1540 (2004) and other capacity-building and outreach events held during the reporting period. Cooperation with international, regional and subregional organization has intensified as a result of formal and informal cooperative arrangements. The first conference for industry associations took place in 2012 in Germany. Considerable progress was made in enhancing the transparency of the work and achievements of the Committee. An updated website of the Committee has been launched. The Office for Disarmament Affairs partnered with the Centre for International Trade and Security at the University of Georgia, United States of America, to support the production of a new publication, 1540 Compass,

which serves as a platform for an exchange of views and ideas for the effective implementation of resolution 1540 (2004).

160. The Office for Disarmament Affairs provides substantive and logistical support to the Committee and its experts. The support focuses on the areas of national implementation; technical assistance; cooperation with international organizations and United Nations bodies; and transparency and outreach. These activities are undertaken through the active promotion of national and regional implementation activities; facilitating assistance within the framework of the resolution; strengthening interaction with and between intergovernmental organizations and bodies; and organizing and supporting the Committee's outreach efforts. The outreach activities of the Committee are supported by the Office for Disarmament Affairs through the organization of regional and subregional workshops on the implementation of resolution 1540 (2004) and through assistance facilitation and country-specific missions. Assistance-related efforts will continue to be a priority. In its resolution 1977 (2011), the Security Council encouraged the organization of meetings on assistance issues, with the participation of the Committee and States prepared to offer assistance, States requesting assistance, and other interested States, as well as relevant international, regional and subregional organizations. France has announced its intention to host, in cooperation with the Office, a conference on assistance, to be held in Paris in the near future. The Office will also continue to provide support for visits undertaken by the Committee to Member States, at their invitation, in furtherance of the implementation of resolution 1540 (2004) and will continue, in cooperation with relevant regional organizations, to organize and support country-specific activities, upon invitations from interested Member States, in particular those aimed at facilitating the preparation of national implementation and capacity-building plans or activities. The Office for Disarmament Affairs also provides information technology support for the experts and maintains the official website of the Committee with the aim of enhancing transparency in the work of the Committee and providing wider public access to information on its activities.

Cooperation with other entities

161. The Committee continued to cooperate with international, regional and subregional organizations and other intergovernmental institutions and arrangements, in particular those possessing non-proliferation expertise. This cooperation contributes to the effective implementation of resolution 1540 (2004) through the exchange of information, the sharing of implementation experiences and lessons learned, and coordination in facilitating assistance to Member States. Regional and subregional organizations also provide valuable insights into the common needs and priorities of their Member States and help to deliver assistance. The Committee continued to cooperate with the Security Council Committee established pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities, the Security Council Committee establish pursuant to resolution 1373 (2001) concerning counter-terrorism and the Security Council Committee established pursuant to resolution 1988 (2011), and their experts. The three Committees have continued to provide joint briefings to the Security Council, outlining the areas of continued cooperation and coordination.

162. In providing support to the Committee established pursuant to resolution 1540 (2004), the Office for Disarmament Affairs is promoting closer cooperation with and between international, regional and subregional organizations, including

organizations of the United Nations system and other entities. This is achieved through a synergistic approach of respective efforts so as to avoid duplication, especially in areas dealing with capacity-building and assistance facilitation. In February 2012, the Office convened, in cooperation with OSCE, a working meeting of 25 international, regional and subregional organizations on cooperation in promoting the implementation of resolution 1540 (2004). This meeting was a follow-up to the one held in December 2010. In 2011, the Office for Disarmament Affairs and the OSCE secretariat concluded a memorandum of understanding on the joint implementation of projects relating to resolution 1540 (2004). Based on the memorandum of understanding, the Office undertakes cost-sharing initiatives with OSCE in organizing and conducting regional workshops, training courses and country-specific activities.

Performance information

163. In 2011 and 2012, the Committee monitored the implementation of resolution 1540 (2004) using reports from Member States and the 1540 matrices. The Committee helped Member States to implement the resolution by facilitating technical assistance and supporting outreach events. Progress was also made in the cooperation with international, regional and subregional organizations. The details of the accomplishments are presented below.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Fuller implementation of resolution 1540 (2004)	• National reporting remains the main source of information for the Security Council's examination of the implementation of requirements of resolution 1540 (2004). A total of 168 Member States have already submitted their first report. Furthermore, in 2012, 10 Member States submitted additional information to the Committee, bringing to 116 the total number of such submissions following the first reports • The matrices represent a valuable tool for the general examination of information on the status of implementation by States of resolution 1540 (2004). The Committee, with the assistance of its experts, updated the matrices. The matrices for all 193 Member States were approved by the Committee and, where consent of the Member State is obtained, were posted on the Committee's website. As of May 2012, 179 matrices had been published on the Committee's website • The 2012 target numbers of States adopting additional measures (30) and number of measures taken by States in implementation of resolution 1540 (2004) (31,000) are expected to be achieved. A number of reviewed matrices will be below the target number for 2012 owing to the departure of some experts during the year and the delay in replacing them

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(b) Enhancing the capacity of States to implement resolution 1540 (2004)	• The Committee continued to strengthen its role in facilitating assistance for implementation of resolution 1540 (2004). Relevant developments during the reporting period focused on the implementation of revised guidelines on processing assistance requests, the facilitation of matchmaking between assistance requests and offers, and continued development and refining of assistance guidelines. The consolidated list of 41 formal requests for assistance was updated by the Committee as well as the technical assistance database • In resolution 1977 (2011), the Security Council encouraged the Committee to actively engage in dialogue with States on the implementation of resolution 1540 (2004), including through visits to States at their invitation. The Committee has conducted visits to the United States (September 2011 and February 2012), Albania (January-February 2012), Madagascar (May 2012) and the Congo (June 2012) • States are encouraged to prepare, on a voluntary basis, national implementation action plans, mapping out their priorities and plans for implementing the key provisions of resolution 1540 (2004). During the past year, the Committee worked bilaterally with a number of interested Member States to facilitate the preparation of national implementation or capacity-building action plans, As a result, several of them have already adopted or are close to adopting such plans • Regional cooperation remains an effective tool to enhance national efforts to implement key requirements of resolution 1540 (2004). In June and July 2012, the Office for Disarmament Affairs held regional workshops for the Baltic Sea countries, and the countries of the European Union Eastern Partnership and Central Asia on the implementation of the resolution hosted, respectively, by Lithuania and Poland • The Office organized and supported a number of additional regional outreach events. It cooperated with OSCE in holding two regional workshops on customs procedures and licensing issuance and a training course on the implementation of resolution 1540 (2004) as well as a seminar for the Andean Region States, held in cooperation with OAS • In resolution 1977 (2011), the Council encouraged the Committee to draw on relevant expertise, including, civil society and the private sector. The Office organized a conference for industry associations in the nuclear, chemical, biological, finance, transport and aerospace areas, which was hosted by Germany in April 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
	• The 2012 target numbers for requests from States for technical assistance (100) and identified best practices, experiences shared and lessons learned (80) are expected to be achieved
(c) Improved interaction with international, regional and subregional organizations	• In its 2011 annual review, the Committee acknowledged the progress made in fostering cooperation with international, regional and subregional organizations and other entities, and in developing a working relationship with non-governmental organizations to facilitate the implementation of resolution 1540 (2004) by States
	• During the reporting period, over 20 international, regional and subregional organizations participated in workshops organized or supported by the Office
	• During the reporting period, a number of joint implementation projects between the Office and OSCE have been launched. The pilot capacity-building projects on physical protection and accounting continued to be implemented through cooperation between the Office and the OAS Inter-American Committee against Terrorism
	• The 2012 target number (20) of cooperative activities of the three Security Council Committees is not expected to be achieved owing to the departure of some experts during the year and the delay in replacing them
	• The 2012 target numbers of outreach events (45) and activities (55) involving international organizations and other entities is expected to be met

Planning assumptions for 2013

164. The Security Council, by its resolution 1977 (2011), extended the mandate of the Committee until 25 April 2021. On the basis of the provisions of the resolution, it is expected that the activities of the Committee will continue to intensify to facilitate the implementation of the requirements of resolution 1540 (2004) by Member States, in particular through the facilitation of assistance and enhanced cooperation with international, regional and subregional organizations.

165. The Committee bases its work on an annual programme of work. The eleventh programme of work, covering the period from 1 June 2012 to 31 May 2013, is still being finalized by the Committee. As stated in the draft, the Committee will focus its attention on, but not limit it to, five main areas of work: (a) monitoring and national implementation; (b) assistance; (c) cooperation with international organizations, including the Security Council Committees established pursuant to resolutions 1267 (1999) and 1373 (2001); (d) transparency and media outreach; and (e) administration and resources. The Committee will continue to work with Member States on the implementation of relevant Security Council resolutions, guided by the principles of transparency, equal treatment, cooperation and consistency in its approach. In order to implement the programme of work more efficiently, the Committee will continue to operate a system of four working groups,

open to all members of the Committee established pursuant to resolution 1540 (2004). The working groups will focus on important and recurring issues.

166. The objective, expected accomplishments and indicators of achievement of the Committee are set out below.

Objective: To prevent non-State actors from developing, acquiring, manufacturing, possessing, transporting, transferring or using nuclear, chemical or biological weapons and their means of delivery

Expected accomplishments	Indicators of achievement
(a) Fuller implementation of resolution 1540 (2004)	(a) (i) Number of States adopting measures to implement key requirements of resolution 1540 (2004) *Performance measures* 2011: not available Estimate 2012: 30 Target 2013: 30 (ii) Number of country examination sheets (reviewed matrices) *Performance measures* 2011: 192 Estimate 2012: 40 Target 2013: 193 (iii) Increased number of measures taken by States in implementation of resolution 1540 (2004) *Performance measures* 2011: 30,021 Estimate 2012: 31,000 Target 2013: 31,450

Outputs

- Reports of the Chair of the Committee to the Security Council (4)
- Updated legislative database on national implementation measures (1)
- Presentations and papers at international, regional and national conferences and reports on those events (80)
- Substantive servicing of meetings of the Committee (15)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of States to implement resolution 1540 (2004)	(b) (i) Increased number of requests from States for technical assistance in the implementation of resolution 1540 (2004) *Performance measures* 2011: 90 Estimate 2012: 100 Target 2013: 110 (ii) Increased number of sets of identified best practices, experiences shared and lessons learned *Performance measures* 2011: 75 Estimate 2012: 80 Target 2013: 83

Outputs

- Updated technical assistance database containing requests for assistance (1)
- Match-making facilitation of technical assistance in response to requests (12)
- Country-specific missions (7)
- Regional capacity-building workshops and other outreach events organized or supported by the Office for Disarmament Affairs (3)

Expected accomplishments	Indicators of achievement
(c) Improved interaction with and among Member States, including by enhancing synergies of relevant United Nations system entities and cooperation with other international organizations	(c) (i) Number of outreach events *Performance measures* 2011: 54 Estimate 2012: 45 Target 2013: 45 (ii) Number of joint activities of the three Security Council Committees (established pursuant to resolutions 1267 (1999), 1373 (2001) and 1540 (2004)) *Performance measures* 2011: 19 Estimate 2012: 10 Target 2013: 20

(iii) Number of activities involving international organizations and other entities in promoting the full implementation of resolution 1540 (2004)

Performance measures

2011: 57

Estimate 2012: 55

Target 2013: 55

Outputs

- Presentations at events organized by international and regional organizations dealing with issues related to the implementation of resolution 1540 (2004) and presentations at workshops and other outreach events organized or supported by the Office for Disarmament Affairs (50)

External factors

167. The objectives would be achieved on the assumption that Member States continue to implement the requirements of resolution 1540 (2004) and in particular respond to specific requirements of resolution 1977 (2011).

Table 19
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	693.1	751.7	(58.6)	707.1	765.7	–	14.0
Operational costs	2 352.6	1 918.8	433.8	2 483.7	2 049.9	–	131.1
Total	**3 045.7**	**2 670.5**	**375.2**	**3 190.8**	**2 815.6**	–	**145.1**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

168. The mandate of the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction has been extended until 25 April 2021. The estimated requirements for supporting the Committee in 2013 amount to $3,190,800 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of five positions to provide substantive and administrative support to the Committee ($707,100); experts' fees ($1,748,900) and official travel ($181,000) of the nine experts; official travel of the members of the Committee and staff ($257,300); and other requirements, such as the rental of premises ($149,900), communications ($8,800) and information technology equipment and maintenance ($137,800).

169. The variance between the 2013 requirements and the 2012 appropriation is attributable mainly to the addition of a ninth expert pursuant to resolution 2055

(2012). This is offset partly by the discontinuation of a one-time provision for the acquisition of information technology equipment and the reduced costs of web hosting of the servers and of the development of the information management system.

170. The anticipated unencumbered balance for 2012 is attributable mainly to the departure of some experts during the year and the delay in replacing them. This is offset partly by the actual entitlements of the incumbents of the positions being on average higher than the standard salary costs.

Extrabudgetary resources

171. In its resolution 1977 (2011), the Security Council urged the Committee to encourage and take full advantage of voluntary financial contributions to assist States in identifying and addressing their needs for the implementation of resolution 1540 (2004). Most of the support from the Office for Disarmament Affairs for substantive activities of the Committee, including capacity-building workshops and implementation or assistance-facilitation missions are funded from extrabudgetary resources. The 1540-related voluntary contributions and grants to the Trust Fund for Global and Regional Disarmament Activities, which is used to support the activities relating to resolution 1540 (2004), currently exceeds $3 million. Those grants have been used to support the implementation and assistance-facilitation activities of the Committee through the conduct of regional workshops and country-specific missions, national capacity-building, and the facilitation of cooperation with international, regional and subregional organizations to the implementation of key requirements of resolution 1540 (2004), as well as to enhance transparency of the Committee's activities and contributions by civil society.

172. In 2012, extrabudgetary resources in the amount of $549,300 are being used to support the Committee's country visits, to facilitate Member States' participation in 1540-related events; to facilitate the preparation of national action plans and related country-specific activities in Belarus, Kazakhstan, Kyrgyzstan, Moldova, Serbia and Uzbekistan; and; to support national capacity-building through training for OSCE States parties; to facilitate national capacity-building in implementing specific requirements of resolution 1540 (2004) in the Americas, including Colombia and Mexico; to promote the coordination of activities relating to resolution 1540 (2004) by international and regional organizations, including a meeting held in Vienna in February 2012, and support for the participation of international and regional organizations, upon their request, in events relating to resolution 1540 (2004), including country visits, country-specific activities, the provision of assistance, regional meetings; to enhance cooperation with civil society, including by organizing the first conference for industry associations, held in Germany in April 2012; and to enhance outreach activities, including through support for the translation and distribution of the publication *1540 Compass*.

173. In 2013, extrabudgetary funds in the amount of $604,470 will be used to organize or support a number of activities relating to resolution 1540 (2004), including country visits; the facilitation of Member States' participation in 1540-related events, including in regional workshops; the preparation of national action plans and related country-specific activities; support for national capacity- building through training; the facilitation of national capacity-building in implementing

specific requirements of resolution 1540 (2004) in the Americas, in cooperation with OAS; and continued support for the publication *1540 Compass*.

Table 20
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	–	–	–	1	–	2	–	**3**	–	2	**5**	–	–	–	**5**
Proposed 2013	–	–	–	–	1	–	2	–	**3**	–	2	**5**	–	–	–	**5**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

174. In 2013, no change is proposed to the staffing structure.

K. Counter-Terrorism Committee Executive Directorate

($8,917,500)

Background, mandate and objective

175. The Counter-Terrorism Committee Executive Directorate was established by the Security Council in its resolution 1535 (2004) to support the work of the Counter-Terrorism Committee in monitoring and promoting the implementation of resolutions 1373 (2001) and 1624 (2005). The Council, by its resolution 1963 (2010), extended the mandate of the Executive Directorate until 31 December 2013. Over the years, the Council has modified both the operational terms of reference and the internal structure of the Executive Directorate to respond to the ever-evolving global terrorist threat. Pursuant to Council resolution 1805 (2008) five internal cross-cutting working groups were established within the Executive Directorate and a more flexible system was introduced for country visits. Since 2009, the Executive Directorate has engaged in capacity-building activities aimed at enhancing institutions and strengthening the rule of law and since 2010, the Executive Directorate has become a core entity within the Counter-Terrorism Implementation Task Force, contributing in particular to the deliberations and function of its working groups on Tackling the Financing of Terrorism; Protecting Human Rights while Countering Terrorism; Countering the Use of Internet for Terrorist Purposes; Dialogue, Understanding and Countering the Appeal of Terrorism; and Border Management related to Counter-Terrorism. The Executive Directorate is Chair of the latter working group and served as Co-Chair of the Counter-Terrorism Implementation Task Force Working Group on Integrated Assistance for Countering Terrorism.

176. In its resolution 1963 (2010), the Security Council reaffirmed the core objectives and tasks of the Executive Directorate, and in particular underlined its crucial role in supporting the Committee to ensure the full implementation of resolution 1373 (2001). New tasks were also added, including: (a) the need to

address conditions conducive to the spread of terrorism; (b) focusing increased attention on the implementation of Council resolution 1624 (2005); (c) advising, as appropriate, on the development of comprehensive and integrated national counter-terrorism strategies and the mechanisms to implement them; (d) interacting, as appropriate, with civil society and other relevant non-governmental actors; (e) facilitating the provision of technical assistance to help Member States to implement resolutions 1373 (2001) and 1624 (2005); (f) preparing an updated global survey of the implementation of resolution 1373 (2001) by Member States and a survey of the implementation of resolution 1624 (2005); (g) organizing a special meeting, open to the wider membership, to commemorate the tenth anniversary of the adoption of resolution 1373 (2001) and the establishment of Committee; (h) undertaking new initiatives on the use of the Internet for terrorist purposes and on the victims of terrorism; and (i) undertaking actions in accordance with a focused, regional and subregional approach to preventing terrorism and building the capacity of Member States to deal with terrorism.

177. The Committee and the Executive Directorate are also mandated, pursuant to Security Council resolutions 1377 (2001), 1456 (2003) and 1566 (2004), as well as the United Nations Global Counter-Terrorism Strategy, to continue to work closely and expand cooperation with international, regional and subregional organizations, which serve as force-multipliers in its work.

178. The Security Council, in its resolution 2017 (2011), requested the Executive Directorate to contribute to a United Nations assessment of the terrorist threat to North Africa. The Executive Directorate subsequently joined a United Nations assessment mission to the Sahel, conducted in December 2011, aimed at assessing the potential impact on the subregion of the Libya crisis and the resulting proliferation of smuggled weapons, in particular man-portable air defence systems, throughout the Sahel area.

179. The Security Council, by resolution 1963 (2010), extended the mandate of the Executive Directorate until 31 December 2013, decided that the Executive Directorate would continue to operate as a special political mission under the policy guidance of the Counter-Terrorism Committee and further decided to conduct an interim review of the Executive Directorate by 30 June 2012. The Council conducted its review of the Executive Directorate during the last week of June and took note of the Executive Directorate's statement endorsed by the Committee that it had initiated or completed all of the tasks that were assigned by the Council in resolution 1963 (2010).

180. Country visits are a key element of the Committee's efforts to engage in dialogue with Member States; to monitor and promote the implementation of resolutions 1373 (2001) and 1624 (2005); and to facilitate the delivery of technical assistance to States in order to address challenges in the implementation of counter-terrorism strategies. The preliminary implementation assessment is one of the primary tools used by the Committee and the Executive Directorate to clarify the status of Member States' implementation of resolution 1373 (2001) and to conduct a thorough, consistent, transparent and even-handed analysis of their efforts in this regard.

181. Another critical task of the Executive Directorate is to facilitate the delivery of technical assistance to States, with a view to enhancing their capacities to implement resolutions 1373 (2001) and 1624 (2005). In that regard, the Executive

Directorate has been particularly active in facilitating technical assistance deliveries, drawing on the revised technical assistance strategy approved by the Committee in 2008 and other guidelines subsequently provided by the Committee that give priority to States visited by the Committee and to follow-up requests. The Executive Directorate also pursued a regional or thematic approach to facilitating technical assistance that maximizes its comparative advantages as an entity supporting the Security Council subsidiary body.

Cooperation with other entities

182. International, regional and subregional organizations are important partners of the Committee and the Executive Directorate in their efforts to monitor and enhance the implementation of resolutions 1373 (2001) and 1624 (2005). The Executive Directorate continued to work closely with other United Nations system agencies and international, regional and subregional organizations in areas of mutual complementarities and enhancement, notably with: (a) the Department of Political Affairs, the African Centre for Studies and Research on Terrorism and the African Union, on country visits and on the situation in the Horn of Africa and the Sahel; (b) the Counter-Terrorism Task Force of the Asia-Pacific Economic Cooperation, on the creation of a tool to monitor the effectiveness of technical assistance delivery; (c) the Inter-American Committee against Terrorism and the Council of Europe, on country visits; (d) ICAO, IMO, INTERPOL, the International Organization for Migration and the World Customs Organization, on the promotion of good practices; (e) the Terrorism Prevention Branch of the United Nations Office on Drugs and Crime, on promoting the ratification and implementation of the 16 international counter-terrorism instruments; (f) the Financial Action Task Force on Money Laundering, to set standards for the suppression of terrorist financing; (g) the Alliance of Civilizations and OHCHR, on the implementation of resolution 1624 (2005); (h) the Counter-Terrorism Implementation Task Force working groups on thematic issues and the capacity-building programmes developed for three pilot States; (i) the United Nations Counter-Terrorism Centre, on a series of multi-year thematic projects; (j) the Security Council Committee established pursuant to resolutions 1267 (1999) and the Security Council Committee established pursuant to resolution 1540 (2004), on information-sharing and conducting country visits; (k) the Office of the Special Envoy of the Secretary-General on Africa, on man-portable air defence systems and risk assessment in the Sahel; and (l) the Center on Global Counterterrorism Cooperation, on protecting non-profit organizations from abuse for the purposes of terrorism financing.

183. The Executive Directorate has intensified its work with OHCHR, providing information about the human rights and rule-of-law technical assistance needs identified during the Executive Directorate country visits. In all of its technical assistance referrals, the Executive Directorate works to ensure that relevant human-rights and rule-of-law aspects are integrated directly into assistance delivery.

184. While the United Nations continues to play a central role in countering terrorism, the period under review was marked by the launch by some Member States of the Global Counterterrorism Forum. Even though the United Nations is not formally a Forum member, the Executive Directorate actively engaged in its activities similarly to its engagement in the work of the former Counter-Terrorism Action Group of the Group of Eight, and actively contributed to the work of its five working groups (on the Sahel, the Horn of Africa, South-East Asia, Criminal

Justice/Rule of Law, and Countering Violent Extremism). The Executive Directorate will continue to work closely with the Forum, which it sees as a potentially effective vehicle for mobilizing political support for counter-terrorism initiatives and for channelling technical assistance and capacity-building initiatives in relevant geographic and thematic areas.

Performance information

185. The special meeting of the Committee with international, regional and subregional organizations, held in Strasbourg, France, in April 2011, was jointly organized by the Executive Directorate and the Council of Europe, and focused on the prevention of terrorism. It concluded with an active Chair's statement highlighting the many ways in which the attending organizations can add value to global counter-terrorism efforts (whether by sharing expertise, providing channels for improved information exchange, conducting activities that help to create formal and informal networks of professionals working in relevant fields, or building capacity together). The participants noted the essential role played by local communities, civil society and the private sector in efforts to prevent individuals from gravitating towards groups that promote ideologies of violent extremism. The Executive Directorate has since taken steps to work with the Council of Europe on a number of "spin-off" projects focused on countering violent extremism and the prosecution of terrorism cases.

186. The special meeting of the Committee, held in New York on 28 September 2011, was open to all Member States and marked the tenth anniversary of the adoption of Security Council resolution 1373 (2001) and the establishment of the Committee. At the conclusion of the meeting, the Committee adopted a forward-looking outcome document urging all Member States to promote zero tolerance for terrorism and to take urgent action to prevent and combat terrorism in all its forms and manifestations through the full and effective implementation of resolution 1373 (2001). The Committee decided to hold another special meeting before the end of 2012, in order to enhance the international fight against terrorism in one of the three areas: financing of terrorism; developing comprehensive and integrated national counter-terrorism strategies; or working with parliamentarians on counter-terrorism legislation.

187. From January 2011 to June 2012, the Executive Directorate made 78 new referrals for technical assistance. Donors agreed to follow-up on 74 referrals, and in 56 cases the recipient State or institution subsequently agreed to the specific delivery modalities proposed by the donors and/or the Executive Directorate. Delivery of assistance has taken place in 65 instances.

188. Pursuant to a directive of the Security Council, contained in resolution 1963 (2010), the Executive Directorate updated the global survey of the implementation of resolution 1373 (2001) by Member States, which became a document of the Council in August 2011 (see S/2011/463, annex). The Committee noted in the survey that, over the decade since the adoption of resolution 1373 (2001), most States had made considerable progress in ratifying the 16 international counter-terrorism instruments, in tightening legislation, in creating financial intelligence units and other specialized mechanisms, in strengthening border and transportation security, and in improving information exchange and cooperation among States. However, the Committee also noted serious gaps that remained in certain areas.

Many States face genuine challenges, among other things, in prosecuting terrorist cases, preventing the financing of terrorism through new payment methods, cash couriers and the misuse of non-profit organizations, and ensuring that counter-terrorism measures comply with their obligations pursuant to international law and international humanitarian law.

189. The Security Council, in resolution 1963 (2010), requested the Executive Directorate to focus increased attention, in its dialogue with Member States, on the implementation of resolution 1624 (2005). The Executive Directorate is actively working on the promotion of resolution 1624 (2005), in particular through the organization of six regional workshops aimed at gathering best implementation practices and developing new ideas for strengthening implementation. The first of those workshops, held in East Africa in November 2011, brought together officials from nine States of the subregion, relevant international and regional organizations, and members of civil society. Participants gained considerable insight into the complex issues involved and drafted an informal list of principles to guide efforts to tackle incitement through specific projects and strategies. Those principles ranged from the importance of broad partnerships in this field between Government and local communities, civil society, the media and the private sector, to the value of tackling the plight of marginalized or excluded communities by empowering youth and women socially and economically, including through targeted education programmes. The workshop also helped the Executive Directorate to identify elements that could form part of comprehensive and integrated national counter-incitement strategies. The second workshop, targeted at States of the Maghreb and the Sahel, was held in mid-July 2012, while a third workshop for the North Africa subregion will take place before the end of 2012.

190. Having completed the stocktaking of 25 preliminary implementation assessments over the past 18 months, the Committee has now adopted the initial preliminary implementation assessments of all 193 Member States. Moreover, 121 States have entered the second stocktaking cycle. The Executive Directorate has revised the format of the preliminary implementation assessment (currently under review in the Committee) to make it more accessible and user-friendly to Member States and Committee experts who use them as well as to make it a better assessment tool for updating the periodic issuance of the global implementation surveys.

Performance for 1 July 2011 to 30 June 2012

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
(a) Improved capacity of Member States to implement Security Council resolutions 1373 (2001) and 1624 (2005)	• In 2010, the Committee agreed on a new list of Member States to be visited over the course of the three-year mandate (2011-2013) conferred on the Executive Directorate by resolution 1963 (2010). As at the end of April 2012, the Executive Directorate had already conducted assessment missions to 11 of those States, bringing the total number visited since 2005 to 70 (including 7 States that have now been visited twice). In addition, the Executive Directorate has taken advantage of its presence at meetings in many other Member States to discuss their counter-terrorism policies and approaches as well as challenges they face. The Executive Directorate also uses every opportunity to deepen its dialogue with Member States regarding further ratification of the 16 international counter-terrorism instruments and the adoption of domestic legislation to implement them, as well as to take steps to further implement resolutions 1373 (2001) and 1624 (2005). For those resolutions, the Executive Directorate focuses on helping Member States or their regional and/or subregional organizations to implement best practices, codes and standards originating with the Executive Directorate or with other international bodies working on counter-terrorism • The Executive Directorate facilitates technical assistance to Member States when gaps or vulnerabilities in their capability to prevent terrorism are identified. The Directorate contacts appropriate donors or providers who are committed to work directly with a Member State to implement steps to eliminate the vulnerabilities identified. The Directorate subsequently visits these Member State to determine if the gaps in their capabilities have been adequately addressed and organizes action programmes, if needed, to further assist Member States in closing any existing gaps. The Directorate also engages with those donor/providers that took steps to help a Member State to consider if additional approaches were merited
(b) More comprehensive guidance to Member States on the implementation of relevant Security Council and General Assembly counter-terrorism resolutions	• The Executive Directorate focused on the implementation of the outcome document of the Special Meeting of the Counter-Terrorism Committee on the tenth anniversary of the adoption of Security Council resolution 1373 (2001), with a view to developing comprehensive and integrated national strategies on counter-terrorism and to foster strategies on addressing the conditions conducive to radicalization and recruitment for terrorism • The Directorate continued to take a regional or thematic approach to the facilitation of technical assistance in order to maximize its comparative advantage as a Security Council body. In this regard, the Executive Directorate held a fifth workshop for South Asian police, prosecutors and judges, which in turn led to several associated technical assistance projects, including a project related

Expected accomplishments	Actual results, with a focus on major indicators of achievement for 1 July 2011 to 30 June 2012
	to witness protection and a project focused on interview techniques in terrorism cases. A practitioners' seminar in the region was also held for prosecutors who have experience dealing with terrorism cases. Participants focused on the use of intelligence, and other information gathered through special investigative techniques, such as interception, electronic surveillance, covert computer searches, informers and undercover agents, that may be introduced as evidence in free and fair trials. The Executive Directorate expects that this initiative will lead to specific capacity-building projects to be implemented by UNODC, by bilateral donors focused on South Asia, and by the Counter-Terrorism Implementation Task Force to help those States implement relevant aspects of the United Nations Global Counter-Terrorism Strategy
	• The Executive Directorate also co-organized events with the Counter-Terrorism Implementation Task Force and other United Nations counter-terrorism bodies on international joint investigations, the freezing of terrorist assets, regional workshops on counter-terrorist financing among non-profit organizations, and regional workshops on the promotion of resolution 1624 (2005) for North-East African States and later for the Maghreb and the Sahel States. Both workshops focused on relations between Governments and local communities, civil society, the media and the private sector. The aim of the workshops was to develop new ideas and best practices for strengthening the implementation of that resolution. The workshops so helped the Executive Directorate to identify elements that could form part of comprehensive and integrated national counter-incitement strategies on a regional and cross-regional basis
(c) Enhanced knowledge and understanding by Member States, civil society, private- sector entities and academia of the activities of the Security Council and Counter-Terrorism Committee to implement resolutions 1373 (2001) and 1624 (2005)	• The Executive Directorate actively publicized aspects of its work through press releases and statements, the preparation of academic articles and op-ed pieces for media outlets, briefings to high level visitors and speeches at conferences and major national institutions around the world. Documents issued at workshops and declarations of the Committee or statements by the Chair of the Committee and the Executive Director are routinely posted on the website of the Counter-Terrorism Committee, and a "Twitter" account, with more than 500 followers (mainly staff of United Nations missions), was expanded. The Chair of the Committee also presided over regular briefings to the wider membership of the United Nations on the work of the Counter-Terrorism Committee and its Executive Directorate. These briefings regularly included a technical briefing by the Executive Directorate on a specified aspect of its work or on an area of counter-terrorism efforts that would be of broad interest to Member States

Planning assumptions for 2013

191. The Counter-Terrorism Committee and the Executive Directorate are planning to carry out the following activities until the expiration of the mandate of the Executive Directorate at the end of 2013: (a) bolster assistance to the Committee in monitoring and promoting Member States' implementation of resolutions 1373 (2001) and 1624 (2005); (b) conduct a further 16 assessment missions to Member States; (c) expand the facilitation of technical assistance to Member States aimed at enhancing their capacity to implement resolutions 1373 (2001) and 1624 (2005); (d) complete the initiative on protecting non-profit organizations from terrorist financing abuse; (e) complete the regional workshops on the role of prosecutors in counter-terrorism; (f) continue the series of workshops around the world on implementation of resolution 1624 (2005); (g) launch a series of regional workshops on strengthening the role of national central authorities; (h) launch a series of regional workshops on effective freezing mechanisms; (i) continue to conduct law enforcement and border-management workshops on various border-control themes, including movement of cash across borders, international joint investigations and international cooperation; (j) update the global surveys of implementation of resolutions 1373 (2001) and 1624 (2005); (k) continue enhancing dialogue with States on the development of national comprehensive and integrated counter-terrorism strategies and the mechanisms to implement them; (l) intensify engagement with international, regional and subregional bodies concerning the identification and promotion of best or good practices to implement resolution 1373 (2001); (m) strengthen active engagement with United Nations bodies, especially the Counter-Terrorism Implementation Task Force Office and its working groups; and (n) explore further opportunities and common areas for engaging with newly established counter-terrorism bodies, such as the United Nations Counter-Terrorism Centre and the Global Counterterrorism Forum.

192. The thematic debate on the effective control of illicit flow of goods and people, held by the Security Council in April 2012, and the related high-level meeting of the Council held in May 2012 underscored the need for the Executive Directorate to play a more leading role in border control issues. As the Chair of the Counter-Terrorism Implementation Task Force Working Group on Border Management related to Counter-Terrorism, the Executive Directorate will promote a number of new initiatives to strengthen border control standards around the world.

193. The objective, expected accomplishments and indicators of achievement of the Executive Directorate are set out below.

Objective: To ensure the comprehensive implementation of Security Council resolutions 1373 (2001) and 1624 (2005), mandated parts of the United Nations Global Counter-Terrorism Strategy and other relevant counter-terrorism resolutions

Expected accomplishments	Indicators of achievement
(a) Improved capacity of Member States to implement Security Council resolutions 1373 (2001) and 1624 (2005)	(a) (i) Number of additional ratifications by Member States of 1 or more of the 16 international counter-terrorism instruments and adoption of domestic legislation

Performance measures

2011: 84

Estimate 2012: 70

Target 2013: 60

(ii) Number of Member States receiving technical assistance from donors and providers as a result of the determination by the Executive Directorate of vulnerabilities and its facilitation of programmes that result in concrete actions to implement relevant resolutions

Performance measures

2011: 88

Estimate 2012: 95

Target 2013: 100

(iii) Number of best practices, codes and standards originating with the Executive Directorate or identified by it acting in concert with other international counter-terrorism organizations that are implemented by Member States

Performance measures

2011: 26

Estimate 2012: 30

Target 2013: 35

Outputs

- Preliminary implementation assessments completed for review and approval by the Counter-Terrorism Committee (50)
- Assessment mission reports approved by the Committee following comprehensive and focused visits and follow-up visits to Member States (15)
- 2013 survey on the status of implementation of resolution 1373 (2001) for the Committee and the Security Council (1)
- 2013 survey on the status of implementation of resolution 1624 (2005) for the Committee and the Security Council (1)
- Updated technical guide to the implementation of resolution 1373 (2001) for Member States

Expected accomplishments	Indicators of achievement
(b) More comprehensive guidance to Member States on the implementation of relevant Security Council and General Assembly counter-terrorism resolutions	(b) (i) Number of Member States hosting assessment missions led by the Executive Directorate with experts from the Committees established pursuant to resolutions 1267 (1999) and 1540 (2004), UNODC, the Counter-Terrorism Implementation Task Force and other counter-terrorism bodies or organizations *Performance measures* 2011: 6 Estimate 2012: 15 Target 2013: 16 (ii) Number of Member States participating in workshops hosted by the Executive Directorate with United Nations entities and international, regional or subregional organizations to develop national or regional counter-terrorism capacities *Performance measures* 2011: 91 Estimate 2012: 85 Target 2013: 95 (iii) Number of donors/providers or counter-terrorism organizations facilitating the provision of technical assistance to Member States or their regional organizations to help them implement the United Nations Global Counter-Terrorism Strategy *Performance measures* 2011: 69 Estimate 2012: 72 Target 2013: 75

Outputs

- Briefings to the Committee, the Security Council and the Member States on overall findings with respect to the implementation of resolutions 1373 (2001), 1624 (2005) and other relevant resolutions (11)
- Outcome document from the special meeting of the Counter-Terrorism Committee (1)

- Reports to the Counter-Terrorism Committee on areas of cooperation and coordination with international, regional and subregional organizations (15)
- Workshops hosted or co-hosted by the Counter-Terrorism Committee Executive Directorate with other entities and donors that promote integrated approaches to the implementation of all relevant United Nations counter-terrorism resolutions (12)

Expected accomplishments	Indicators of achievement
(c) Enhanced knowledge and understanding by Member States and civil society of the activities of the Counter-Terrorism Committee to implement resolutions 1373 (2001) and 1624 (2005)	(c) (i) Number of visits on the Committee's website *Performance measures* 2011: 64,687 Estimate 2012: 75,000 Target 2013: 80,000 (ii) Number of civil society entities, including multinational corporations, private donor organizations, non- governmental organizations, academic groups and other entities working with the Executive Directorate *Performance measures* 2011: 36 Estimate 2012: 50 Target 2013: 70

Outputs

- Regular updates and feature enhancements of the Committee's website in the six official languages of the United Nations (13)
- Briefings to regional organizations, non-governmental organizations, academic groups and other entities to explain the counter-terrorism activities of the United Nations and the Executive Directorate (50)
- Counter-Terrorism Committee and Executive Directorate media conferences, press statements and press releases (80)
- Press kits distributed to Member States, the media, civil society and non-governmental organizations promoting the work of the Committee and the Executive Directorate (3,000)

External factors

194. The objective would be achieved on the assumption that Member States implement the relevant resolutions of the Security Council and provided that the collection and analysis of information for the Counter-Terrorism Committee are not hindered.

Table 21
Resource requirements
(Thousands of United States dollars)

	1 January-31 December 2012			*Requirements for 1 January-31 December 2013*			
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance under- (over-) expenditure* (3)=(1)-(2)	*Total* (4)	*Net*[a] (5)=(4)-(3)	*Non-recurrent* (6)	*Variance* (7)=(4)-(1)
Civilian personnel costs	6 703.6	6 553.1	150.5	6 714.8	6 564.3	–	11.2
Operational costs	2 188.9	2 186.7	2.2	2 202.7	2 220.5	–	13.8
Total	**8 892.5**	**8 739.8**	**152.7**	**8 917.5**	**8 764.8**	–	**25.0**

[a] Net requirements after taking into account the estimated underexpenditure or overexpenditure for 2012.

195. The mandate of the Counter-Terrorism Committee Executive Directorate has been extended until 31 December 2013. The estimated requirements for 2013 amount to $8,917,500 (net of staff assessment). That amount would provide for salaries and common staff costs for the continuation of 41 positions (1 Assistant Secretary-General, 1 D-2, 2 D-1, 9 P-5, 12 P-4, 4 P-3, 4 P-2, 1 General Service (Principal level) and 7 General Service (Other level)) ($6,714,800); official travel of staff of the Executive Directorate ($1,055,200); office supplies and the rental of office space ($993,500); communications, including public information services ($51,400); information technology ($91,200); and other supplies and services ($11,400).

196. The slight variance between the 2013 requirements and the 2012 appropriation is attributable mainly to an increase in the annual rent from $963,500 to $987,000.

197. The anticipated unencumbered balance for 2012 is attributable mainly to the actual entitlements of the incumbents being on average lower than the standard salary costs used for 2012.

Extrabudgetary resources

198. In 2012, extrabudgetary funds in the amount of $585,000 are being used to organize workshops in different regions of the world, with a view to enhancing Member States' capacity to implement Security Council resolutions 1373 (2001) and 1624 (2005). Under the guidance of the Counter-Terrorism Committee, the Executive Directorate is organizing six workshops in different regions around the world focusing on specific areas such as effectively countering terrorism, for police, prosecutors and judges in South Asia; international joint investigations in South-East Asia; the implementation of the freezing mechanism required by resolution 1373 (2001) in West Africa; and the implementation of resolution 1624 (2005), for the Sahel, Maghreb and for North-East Africa.

199. In 2013, the Executive Directorate will continue to use extrabudgetary funds in the amount of $700,000 to organize several new and follow-up workshops in various regions of the world in accordance with the Executive Directorate's work programme as approved by the Counter-Terrorism Committee. The Executive Directorate will organize follow-up workshops for national prosecutors in order to

bring terrorists to justice, implement Security Council resolution 1624 (2005), develop initiatives on asset freezing and establish best practices for dealing with cash couriers. The Executive Directorate will also organize new workshops on border management to develop a model border control system for Member States to emulate and to help Member States in bringing their central authorities into alignment with the requirements of relevant Council resolutions.

Table 22
Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2012	–	1	1	2	9	12	4	4	**33**	–	8	**41**	–	–	–	**41**
Proposed 2013	–	1	1	2	9	12	4	4	**33**	–	8	**41**	–	–	–	**41**
Change	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–

200. In 2013, no change is proposed to the approved staffing structure for the Counter-Terrorism Executive Directorate.